

SWASFAA POLICIES AND PROCEDURES MANUAL

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SWASFAA POLICIES & PROCEDURES MANUAL

A. Introduction to SWASFAA Policy and Procedures Manual

A. Purpose

The SWASFAA Policy and Procedures Manual has been designed to provide guidance, reference material, and historical continuity for the SWASFAA Board of Directors and Committee Chairpersons. This document is stored on the Association's web site for ease in updating and access as the Board of Directors and Committee Chairs change.

B. Content

The SWASFAA Policy and Procedures Manual supplements the Articles of Incorporation, Constitution, and By-Laws by:

1. Providing an overview of the Association's structure
2. Describing the responsibilities of members in leadership positions
3. Presenting the Association's approved operating policies and procedures

C. Use

It is the responsibility of each officer, Board member, and committee chair to:

1. Review and be familiar with the policies and procedures prior to service on the board.
2. Provide changes or updates as needed during their term of service.
3. Pass new Policies and Procedures information to the succeeding member prior to completion of their term.

B. Board of Directors

A. Meetings

1. The Board of Directors will generally meet quarterly - typically in January, April, September and immediately preceding the annual conference.
2. One of the meetings will be held in conjunction with the Association's Annual Conference and will be held at a time which is most convenient for members. The time of this meeting will be the decision of the President.
3. The Board of Directors may choose to conduct meetings through use of conference calls. The Treasurer will make arrangements for these calls.
4. Committee Chairs shall be invited to meetings as determined by the President.
5. All members shall be notified of meetings at least thirty (30) days before the meeting.
6. "Robert's Rules of Order, Revised", shall govern the Association proceeding in all cases to which they are applicable and in which they are not inconsistent with the Constitution and By-Laws. The President-Elect will bring a copy of the Constitution, By-laws, Policies and Procedures, and Robert's Rules to each meeting.

B. Meeting Agendas

1. Meeting agendas will be prepared and distributed at least two weeks in advance of each meeting. This activity may be performed by the President or in cooperation with the Secretary.
2. Regular reports are to be made by the Treasurer, Standing Committees, and each member-state Delegate to the Board of Directors. Reports by *ad hoc* committees will be made at the discretion of the President and Committee Chairpersons. Generally, these reports will be distributed at least one week prior to the meeting or at the Board Meeting.

C. Location of Meetings

Location of Board of Directors meetings will be determined by the President.

D. Meeting Minutes

Unofficial minutes will be distributed by the Secretary to the Board members within four weeks of the completion of the meeting. Official minutes will be posted on the Association's web site once minutes are approved by the board at the next meeting.

E. Planning Retreat

If funding is available, the President Elect should plan and coordinate a planning retreat. The planning retreat would include incoming Board members and committee chairs and others as determined by the President and President Elect. This meeting typically takes place prior to the fall conference at the final board meeting.

F. Executive Committee of the Board

1. Purpose

This committee is charged with acting for the Board of Directors.

2. Duties

This committee will take emergency action in the absence of the Board. A simple majority of this committee is necessary to conduct business whether in person, via conference call, or email.

3. Membership

a. Chair: President of the Board.

b. Members: Immediate Past President, President, President-Elect, Secretary, and Treasurer

c. Tenure: One Year

G. Detailed Officer Descriptions

1. President

a. Basic Function and Responsibility

The President acts as the chief executive officer of the Association, presiding at all meetings of the Association and chairing all meetings of the Board of Directors.

b. Characteristic Duties and Responsibilities

- (1) Provides leadership and direction to all activities of the Association, the Board of Directors, and all standing and ad hoc committees, and task forces of the Association.
- (2) Serves as the official representative of the Association and the Board, or delegates such responsibility to another officer or other member of the Board as may be deemed necessary from time to time.
- (3) Serves as the official spokesperson for the Association and the Board, or delegates such responsibility to another officer or other board member as deemed necessary from time to time.
- (4) Calls and presides at all meetings of the Association and the Board, determines length of floor debate, manner of voting, and agenda items.
- (5) Appoints and dismisses all committee and task force chairs subject to confirmation by the Board of Directors and appoints committee members with the exception of vice chairs, which are named by the President-Elect. All SWASFAA committee members will be notified of their appointment and their names will be published on the Association web site after Board approval.
- (6) Serves as an ex officio member of all Association committees and task forces.
- (7) Attends all National Association of Student Financial Aid Administrators (NASFAA) Board of Directors meetings to convey the directives and positions of the SWASFAA Board of Directors and membership, and reports back to the SWASFAA Board. The president will attend these meetings as an observer until the end of NASFAA's fiscal year on June 30th, at which time the president will become a voting member on the NASFAA Board of Directors.
- (8) Submits an annual report to the Association on all matters of interest or concern to the Association members, which have taken place during that term of office.
- (9) In conjunction with the Treasurer, approves all payments by check or EFT.
- (10) Coordinates or delegates all Board meeting arrangements.
- (11) Signs all contracts.
- (12) Signs all debit/credit card expense forms or reimbursement forms by board members, committee chairs, or members (excluding president's expense forms).
- (13) Administer Conflict of Interest statement at the January Board of Directors meeting.
- (14) Maintains electronic version of the Association's stationery.

c. Length of Office

The President serves in this position for one year (January 1 – December 31) and shall automatically become Past President of the Association for one year commencing January 1 after the term as President expires.

2. President-Elect

a. Basic Function and Responsibility

The President Elect is an officer of the Association and shall perform the duties of the President in the event of absence or incapacity of the President to serve and shall perform such duties as are assigned by the President or prescribed by the Board of Directors.

b. Characteristic Duties and Responsibilities

- (1) Provides assistance to the President of the Association in any areas as requested.
- (2) Serves as Parliamentarian of the Association.
- (3) Responsible for updates to Policy and Procedures Manual as well as distribution to new Board members and committee chairs.
- (4) Appoints vice chairs for all committees, as appropriate.
- (5) Plans and coordinates an annual planning retreat with members of the executive board, newly elected officers and incoming committee chairs.
- (6) Attends all National Association of Student Financial Aid Administrators Board of Directors meetings beginning with the board meeting that precedes the annual NASFAA conference. Provides a report from the NASFAA Board of Directors meetings to the SWASFAA Board.
- (7) Serves as Chair of the Finance Committee.
- (8) Develops a proposed budget for the next year in consultation with the Finance Committee and submits it to the current Board of Directors for action at their final meeting of the year, which is typically before the annual conference.
- (9) Assists with Board meetings as necessary.
- (10) Participates in the NASFAA Regional presidents' meeting, which is usually prior to the NASFAA fall Board meeting.
- (11) Attends the NASFAA Leadership Conference.

c. Length of Office

The President Elect shall serve for one year commencing January 1 after election.

3. Immediate Past President

a. Basic Function and Responsibility

The Immediate Past President is an officer of the Association, shall serve as a member of the Board of Directors, and shall perform such duties as assigned by the President or prescribed by the Board.

b. Characteristic Duties and Responsibilities

- (1) Participates in the meetings and activities of the Board and contributes to the formation of policies and practices of the Association.
- (2) Attends National Association of Student Financial Aid Administrators Board of Directors meetings to convey the directives and positions of the SWASFAA Board of Directors and membership and report back to the SWASFAA Board the actions taken. The Past President will serve as the voting member for the SWASFAA region until the end of NASFAA's fiscal year on June 30.
- (3) Serves as Chair of the Awards committee and the Nominations and Elections committee, and as a member of the Executive Board.
- (4) Performs such duties as are assigned by the President or prescribed by the Board of Directors.
- (5) Signs all debit/credit card expense forms or reimbursement claim forms for the President.

c. Length of Office

One year commencing January 1 after term as President.

4. Access and Opportunity Officer

a. Basic Function and Responsibility

- (1) The Access and Opportunity Officer shall be committed to advancing diversity, equity, access, opportunity, and inclusion in all of its forms.

b. Characteristic Duties and Responsibilities

- 1) Participate in the meetings and activities of the Board and contribute to the formulation of policies and practices of the Association. Perform such duties as are assigned by the President or prescribed by the Board of Directors.
- 2) May serve as a committee chair or as a liaison between various committee chairs and the Board of Directors
- 3) Serves as a member of the Diversity Awareness Committee.

c. Length of Office

Two years commencing January 1 after date of election.

5. Secretary

a. Basic Function and Responsibility

- (1) Records and distributes Board meeting and the annual association business meeting minutes to the Board of Directors, Committee Chairs, and other designated Association members upon approval from the President.
- (2) Coordinates requests for stationery, if necessary. The President maintains the electronic version of the stationery.
- (3) Develops and distributes the list of State Delegates and Board members with office and home addresses, telephone and FAX numbers, if requested by the President.
- (4) Notifies Board of Directors fifteen (15) or more days prior of any special meetings called.
- (5) Performs other functions as assigned by the President or prescribed by the Board of Directors.
- (6) Provides an electronic version of approved Board meeting minutes and the annual association business meeting minutes to the Electronic Initiatives and Communications Committee Chair for posting on the Association's web site.

b. Length of Office

Two years commencing January 1 after election.

6. Treasurer

a. Basic Function and Responsibility

The Treasurer is an officer of the Association and shall be responsible for developing, distributing, and maintaining the financial records of the Association and the Board and performing transactions as directed by the Board. The Treasurer shall be ready whenever required to give to the Board any funds and financial records as demanded. The Treasurer is the only Board member to receive a stipend and is not eligible to vote.

b. Characteristic Duties and Responsibilities

- (1) Receives and disburses monies of the Association.
- (2) Maintains adequate and appropriate records of all transactions.
- (3) Is responsible for the proper and timely filing of all reports to include all necessary tax returns and audits.
- (4) Assists with the formulation of the Association's annual budget and recommends financial policies.
- (5) Assists any Association committee or sponsored activity needing advice or financial service.
- (6) Assists the task force of the Finance Committee with an annual review of the Association's financial records prior to the April or September meeting of the Board.
- (7) Sends dues reminders twice annually, in May/June prior to annual elections with deadline of September 1 to be eligible to vote and in October/November with December 1 deadline for inclusion in January update of active membership database.
- (8) Maintains a list of association members eligible to vote.
- (9) Performs other functions as assigned by the President or prescribed by the Board of Directors.

c. Length of Office

Appointed by the President and confirmed by the Board of Directors for a five-year term, which may be renewed by the Board.

7. Delegate-At-Large (5)

a. Basic Function and Responsibility

Delegates-at-large serve as Board members from each of the five states and the general membership of SWASFAA for the purpose of discussing issues and concerns brought before the Board of Directors of SWASFAA.

b. Characteristic Duties and Responsibilities

- 4) Participate in the meetings and activities of the Board and contribute to the formulation of policies and practices of the Association. Perform such duties as are assigned by the President or prescribed by the Board of Directors.
- 5) May serve as a committee chair or as a liaison between various committee chairs and the Board of Directors
- 6) Each state delegate-at-large will be responsible for taking information from the Board of Director's meetings back to their respective state.
 - Items include position opening notifications, training and events, webinar opportunities, conference events, etc.
- 7) Serves as a member of the Membership Committee should the state membership representative not be able to serve.

c. Length of Office

Two years commencing with January 1 after date of election.

8. State Association Delegates (State Presidents)

a. Basic Function and Responsibility

State Presidents shall serve as Board members representing the interest of their respective State Associations. State Presidents will bring to each Board of Director's Meeting a written report outlining activities of the State Association. In the case where a State President's institution is not a regular member of the Association, a designee whose institution is a regular member of the Association shall be appointed by the state association's governing board to fill the position on the Board.

b. Characteristic Duties and Responsibilities

- (1) Regularly attends all Board meetings as well as the SWASFAA annual meeting.
- (2) Represents the interests and perspective of the State Association to the Board.
- (3) As a member of the Board, represents not only the State Association perspective but also participates as an institutional member of SWASFAA.
- (4) Serves as the contact person for association members requesting information and references concerning the delegate's state and for State Association members requesting information concerning Regional activities.
- (5) Reports state association and committee activities to the Board of Directors and other delegates.
- (6) Encourages home state association to coordinate timing of state meetings with the Regional calendar.
- (7) Provides input via the SWASFAA President and Immediate Past President to the Board of Directors of the National Association of Student Financial Aid Administrators.
- (8) Keeps the SWASFAA President informed about State Association actions or decisions that may impact upon the Region.
- (9) Performs other duties as assigned by the President or prescribed by the Board of Directors.

c. Length of Office

One year beginning January 1. States with operating years different from SWASFAA will be represented for the entire year by the state president who is in office on January 1.

C. Committees

A. Committee Description, Policies, and Functions

1. Standing Committees

Annual Conference
Boot Camp
Finance
Membership
Nominations and Elections
Mid-Level Training

Other Committees

Archives
Awards
Corporate Relations
Electronic Initiatives and Communications
Leadership Development
Legislative Issues
Local Arrangements
Long Range Planning
Site Selection
Training and Continuing Education
Diversity Awareness

2. Committee Membership Policy

- a. Committee members must be institutional or associate members in good standing as defined in the By-Laws. As a standard of good practice these persons should have been members of SWASFAA for the previous year.
- b. The President appoints all committee members for his/her term of office, with the exception of vice chairs nominated by the President Elect.
- c. The President submits all nominations for committee chairs to the Board of Directors for approval and/or dismissal.
- d. The committee chair recommends committee members after reviewing volunteer forms and consulting with the President. It is further recommended that the President and/or committee chair contact state Presidents for additional names once the volunteer list has been exhausted.
- e. Committee chairs should make every effort to recommend to the President for appointment persons who are representative of the membership, i.e., ethnicity, sex, institution type and state.
- f. Persons considered for committee work at the regional level should have exhibited some involvement in professional activities.
- g. The President notifies persons appointed to serve on committees of their appointment. As a best practice, the President should personally thank each member who volunteers but is not selected to serve.
- h. Committee chairs shall inform persons appointed to committees by letter of their committee responsibilities.

The above policies are established to best serve SWASFAA and its committee structure. The President, with Board approval, may make exceptions to these policies when such exceptions are in the best interest of SWASFAA.

3. Committee Reports

- a. Committee chairs will prepare an agenda for each committee meeting and distribute to committee members two weeks in advance. Copies should be sent to the President.
- b. Minutes will be taken at every committee meeting. Copies should be sent to the President and members of the committee. The final minutes should also be sent to the Electronic Initiatives Chair to include under the committee section of the website. Minutes should be submitted within 30 days of any committee meeting.
- c. Each committee chair is responsible for collecting and submitting the committee members' Reimbursement Claim Forms (see Appendix) to the Treasurer immediately after each committee meeting.
- d. Committee chairs will attend Board of Directors meetings if requested by the President. Committee Chairs are required to submit to the Board of Directors a written report regarding the committee's activities.
- e. Each committee chair will be responsible for completing a final year-end report. The year-end report should include a list of accomplishments, budget and expense report, and suggestions or recommendations for future committees. Committee chairs should pass on past minutes, reports and all other related materials to the new chairs at the end of their appointments.

4. General Responsibilities

- a. Committee chairpersons should develop, at the beginning of the year, their goals and objectives, plan of actions and priorities for the coming year. This would also include a calendar. Normally the committee chair will report this information in writing to the President and to the first Board of Directors meeting. Since the Board is the final authority for the actions of the various committees, it is important that the Board review all goals, objectives, and priorities for each committee.
- b. Committee chairs are responsible for implementing the goals and objectives during the term of their office.
- c. Committee chairs are responsible for calling all meetings and making physical arrangements, notifying the President of all meetings, setting the meeting agendas, distributing the agenda to members and President prior to the meeting, distributing reimbursement forms, and sending to the Treasurer the Reimbursement Claim Forms to initiate reimbursement procedures.
- d. If the committee meets by conference calls, it is recommended to utilize AccuConference since SWASFAA has an existing agreement that provides reasonable rates. To use AccuConference, request approval from the President. The approval will be sent to the Treasurer to account for which committee had the conference call expense.
- e. Committee chairs are responsible for providing the members with guidelines as to their responsibilities and tasks for the year and monitoring the performance of the committee and committee members.
- f. Committee chairs are accountable for the budgets approved by the Board of Directors. All variances in the total committee budget must be approved by the Board. Chairs should monitor all expenses to be sure that the committee operates within the committee's budget and that all expenses are legitimate. A Reimbursement Claim Form should be signed by the committee chairperson and submitted to the Treasurer for reimbursement of expenses.
- g. Frequently, when an association officer is present, the officer may use the association's debit card to pay for group meals for the committee. In this case, the officer will turn in the receipt to the Treasurer and indicate it as a charge to the committee budget.
- h. At group meals, if spouses of committee members are present, the committee member is expected to pay for that meal separately. However, the Board realizes that many restaurants will not split tickets for large parties. Committee members should be advised that spouse attendance

at a group meal should be pre-arranged with the committee chair and should agree to the amount to be reimbursed to the Association for the spouse's meal.

- i. SWASFAA committees should make every attempt to coordinate their activities with state and national committees with similar responsibilities.
 - j. Committees and the committee chairs may have other duties as assigned by the President and/or Board of Directors.
5. Term of Office

The term of office for committee chairs and members is one year except as specified in the By-Laws.

6. Committee Meeting Expenses

The travel expenses incurred by committee members in attending committee meetings and performing authorized committee activities will be covered according to the policies of the Association.

B. Annual Conference Committee

1. Purpose: This committee is charged with designing a conference program that will meet the professional needs of the SWASFAA membership.
2. Duties
 - a. Designs a program for the annual SWASFAA Conference which accommodates the needs of the various significant components of the financial aid profession and presents its proposals to the SWASFAA Board of Directors for further review and suggestions.
 - b. Follows through with program arrangements necessary for conducting the Annual Conference.
 - c. Works closely with the Local Arrangements Committee and Site Selection Committee for the annual conference to ensure that adequate arrangements have been made.
 - d. Prepares and recommends a budget to the President, the Finance Committee, and the Board of Directors that will adequately cover all of the costs associated in planning, implementing, and concluding the program for the Annual Conference.
 - e. Brings to the attention of the Board of Directors other items of importance.
 - f. Coordinates all pre-conference communications.
 - g. Creates and advertises registration materials at least two months prior to the date of the conference.
3. Membership
 - a. Chair: Appointed by the President and approved by the Board of Directors. Vice chair appointed by President Elect.
 - b. Members: This committee shall consist of at least six SWASFAA members (includes chair) recommended by the chair and appointed by the President who are capable of performing the duties of the committee and reflect the professional scope of SWASFAA.
4. Tenure: One year
5. Qualifications: Persons should be representative of the SWASFAA membership and have knowledge and/or interest in professional development.

C. Archive Committee

3. Purpose: This committee is charged with maintaining SWASFAA's history.
4. Duties:
 - a. Collects all records related to SWASFAA business, i.e. brochures related to the Annual Conference, training, newsletters, photos, and any other records the committee determines to be archival material.
 - b. In addition to the above mentioned articles, the Committee should collect from the SWASFAA Secretary copies of all Board of Director's minutes and other official documents, such as Treasurer's reports, By-Laws changes, budgets, President's reports, Business Meeting minutes, committee reports, and any documents coming to the attention of the Board of Directors.
 - c. Will review the records and determine which materials should be maintained on a permanent basis.
 - d. The committee chair will maintain SWASFAA records on Dropbox for three years prior to moving to Google platform for permanent archive
 - e. The committee chair should receive a copy of the communication sent to the Board or the membership.
 - f. The committee chair is responsible for transferring knowledge of hard copies, archive platform passwords and activities to date to incoming committee chair.
5. Membership:
 - a. Chair: Appointed annually by the President and approved by the Board of Directors.
 - b. Members: This committee should consist of at least five (5) members recommended by the Chair and appointed by the President, one (1) from each state.
6. Tenure: One year, term renewable.

D. Awards Committee

1. Purpose: This committee is charged with recognition of SWASFAA individuals who have provided service or made significant contributions toward the aims and ideals of the financial aid profession in our region.
2. Duties:
 - a. Develops award categories to meet purpose of Committee. Current categories are:
 - (1) Service Award: Awarded to an individual who is an employee of a member school, associate organization, or an individual member, and who has at least ten (10) years of service in the financial aid profession. Recognition begins at ten (10) years and continues in five (5) year increments. This would not include financial aid experience while a student employee. Awards recognize service in five-year increments. The award is a SWASFAA logo pin with their appropriate years of service indicated on pin.
 - (2) Retirement Recognition: Awarded to a financial aid professional who is an employee of a member school, associate organization, or an individual member, and who retires from the financial aid profession due to reasons of health, age, or institutional eligibility. The person must have served the most recent fifteen (15) years as a member of a financial aid office or in a position eligible to serve as a representative of a member institution in SWASFAA. The retirement must have occurred during the preceding year or be planned for the current year. The award will be an engraved memento or a similar token with the SWASFAA logo and the individual's name or the appropriate acknowledgement set by Awards Committee Chair.
 - (3) Leo Hatten Distinguished Service Award: Awarded to member representative(s) of SWASFAA who have made outstanding achievements to the financial aid profession and to SWASFAA's goals. Their career must demonstrate service to other professionals, students, and other publics served by our community. It is based on significant contributions over a period of time. It is the highest award bestowed by the association and is to be presented at the Annual conference. This award need not be presented annually. The selection of the Leo Hatten Distinguished Service Award recipient is at the discretion of the President and is not subject to board approval. The award will be a plaque, special trophy, or engraved memento as determined by the Awards Committee Chair.
 - (4) Philo Brasher Emerging Leadership Award (formerly Rookie of the Year, effective 2008): Each state will provide the name of an individual from their state for this award. It is the discretion of each state to develop the criteria for this award. SWASFAA will match a \$250 scholarship award given by the award recipient's home state to award to students at the award recipient's school. The award will be a framed certificate.
 - (5) Logan Ware Professional Development Scholarship Awards: The purpose of this award is to help defray the cost of professional development for individuals who would otherwise not be able to attend the SWASFAA Annual Conference or other SWASFAA activities/training due to institutional budgetary constraints. The scholarship applicant's institution must be a paid member for the current year.
 - (6) Past President's Award: Awarded to the President of SWASFAA to recognize his/her leadership. The award will be a plaque or similar token as determined by the Awards Committee Chair.
 - b. Solicits candidates and selects recipients for various awards.
 - c. Selects gifts/certificates for awardees to be presented at Annual Conference.
 - d. Solicits nominations and recommends appropriate candidate(s) to the Board of Directors for the NASFAA Regional Leadership Award. The Board will review candidate(s) for the purpose of possible nomination of candidate(s) by SWASFAA to NASFAA. This nomination needs to be finalized by February 1st of each year.

- e. Each year the Immediate Past President will solicit the membership to provide information, accomplishments, pictures, and/or kind words to “friends who have passed” in the past year. This information will be compiled into a PowerPoint presentation that is played at the conference during one of the meal functions.
3. Membership
- a. Chair: Immediate Past President of the Association.
 - b. Members: Representatives from each state in the region. No committee members can be nominated for any award other than service or retirement during their tenures on the committee.
4. Tenure: One year
5. Recommended Timelines:
- a. Three months prior to conference and/or training –Logan Ware Professional Development Scholarship application deadline.
 - b. Two months prior to conference and/or training – Committee finalizes scholarship recipients.
 - c. Two months prior to conference - solicit all retirees from the membership.
 - d. One month prior to the conference - Order all awards that need to be engraved.
 - e. One to two weeks prior to the conference - Gather names from the membership database to determine all members that will be recognized for their years of service as defined in #2.a.1.

I. Boot Camp Committee

1. Purpose: This committee is charged with carrying out a workshop for neophyte (two years or less experience) training workshop in conjunction with the Annual Conference.
2. Duties
 - a. Develops materials appropriate for use in providing training to new financial aid administrators.
 - b. Conducts and/or supervises Boot Camp training prior to the Annual Conference.
 - c. Makes recommendations to the Board of Directors on additional training needs.
 - d. Obtains registration fee approval from Board of Directors.
 - e. Other duties related to professional development as prescribed by the Board of Directors.
3. Membership
 - a. Chair: Appointed annually by the President and approved by the Board. Vice chair appointed by the President Elect.
 - b. Members: This committee shall consist of at least five (5) members recommended by the Chair and appointed by the president, one (1) from each state. The Chair may or may not concurrently serve as a state representative.
4. Tenure: One year.

F. Corporate Relations Committee

1. Purpose: This committee is charged with serving as a liaison between the Board of Directors and the Association's Associate Members.
2. Duties
 - a. Updates the exhibitors and non-exhibitors information packet.
 - b. Encourages Associate members' participation in SWASFAA activities.
 - c. Provides appropriate recognition and thanks to exhibitors and non-exhibitors for supporting the Association and its activities.
 - d. Acts as liaison between all exhibitors and non-exhibitors and the Association.
 - e. Helps exhibitors set up and strike exhibits before and after Annual Conference.
 - f. Provides input to Local Arrangements and Conference Committees on exhibitor needs.
 - g. Coordinates advertisement on the Association's web site with the Chair of the EIC committee.
3. Membership
 - a. Chair: Appointed by the President and approved by the Board.
 - b. Members: Recommended by chair and approved by President
4. Tenure: One year subject to reappointment.

G. Diversity Awareness

SWASFAA is committed to and accountable for advancing diversity, equity, and inclusion in all of its forms. We embrace individual uniqueness; foster a culture of inclusion that supports the NASFAA Professional Diversity Caucus.

1. Purpose: The Task Force is charged with promoting the goals of diversity, equity, and inclusion among the leadership and membership of SWASFAA.
2. Duties:
 - a. Identifies and recommends to the SWASFAA Board ways to build and maintain a diverse and inclusive organization where differences of opinion, beliefs, and values are sought, listened to, respected, and valued.
 - b. Works with and advises SWASFAA committee chairs on activities that support committee efforts to build and maintain an inclusive and welcoming organization.
 - c. Serve as primary contact for all questions and concerns related to accessibility and inclusion at SWASFAA events: follows up with appropriate leadership and/or delegates.
 - d. Maintain ongoing efforts to identify and eliminate participation barriers as it relates to SWASFAA's roles, programs, and other activities.
 - e. Works with and advises SWASFAA conference and training committees for the selection and presentation of diversity and inclusion sessions and workshops.
 - f. Bring to the attention of the Board of Directors other items of importance.
3. Membership:
 - a. Chair – Appointed by the President of the association and approved by the members of the SWASFAA Board.
 - b. Members: This committee shall consist of at least six SWASFAA members (including chair). Efforts will be made to have a representative from each state of the SWASFAA region. The individuals will be recommended by the chair and appointed by the President who are capable of performing the duties of the committee and reflect the professional scope of SWASFAA.
4. Tenure: One year
5. Qualification: Persons should be representatives of the SWASFAA membership and have knowledge and/or interest in professional development.

H. Electronic Initiatives and Communications Committee

1. Purpose: This committee is to inform members about the activities and concerns of SWASFAA and to provide a forum for communicating to the membership about issues affecting the student financial aid profession.
2. Duties of Chair and Committee
 - a. Coordinates the maintenance and updating of the Association's web site.
 - b. Serves as the primary contact and liaison with the Association's web site design and hosting corporation.
 - c. Assists committees and Board officers in developing information and forms for the web site.
 - d. Brings recommendations to the Board for improvements to the web site and for the purchase of additional services from the hosting corporation to increase the effectiveness of the web site.
 - e. Performs other duties as assigned by the President.
 - f. Provides information to NASFAA, other regional associations, and state associations in our association related to SWASFAA activities.
 - g. Maintains a social media presence for the association on Facebook, Twitter, and other outlets.
 - h. Approves final submissions of all blog entries.
3. Membership
 - a. Editor: Appointed by the President and approved by the Board.
 - b. Chair: Appointed by the President and approved by the Board.
 - c. Members: Appointed by the President. [This committee shall consist of at least five (5) members recommended by the Chair and appointed by the president, one from each state. The Chair may or may not concurrently serve as a state representative.
4. Tenure: One year, subject to renewal.
5. Qualifications: The chair should be a responsible person with initiative and organizational skills; must be willing to devote a significant amount of time to coordinating the updating and maintenance of the Association's web site. Members of the EIC Committee should have an interest in and knowledge of communications and be willing to assist and advise the chair on several occasions throughout the year.

I. Finance Committee

1. Purpose: This committee is charged with budget construction and recommendations to the Board on fiscal policies.
2. Duties
 - a. Reviews annual budget before presentation to the Board.
 - b. Periodically reviews SWASFAA investment policy.
 - c. Generally reviews revenue generation incentives.
 - d. Conducts an annual review of the Association's financial records. This should be conducted prior to the April or September Board Meeting for the preceding fiscal year, January 1 – December 31.
 - e. The President, Treasurer, or Board may recommend an external audit at any time there is an indication of fraudulent activity involving association funds.
3. Membership
 - a. Chair: President Elect
 - b. Members: President, Treasurer, and two members of the Board recommended by the President and approved by the Board.
4. Tenure: One year with the exception of the Treasurer. Others subject to reappointment.

J. Leadership Development Committee

- A. Purpose: This committee is responsible for the development of leadership skills and abilities to support individual growth and to bring forward future leaders for SWASFAA.
- B. Duties
 - a. Works with State Delegates and other committees to target members of the Association who are potential future leaders of the Association.
 - b. Plan and administer a structured mentoring program to train future leaders.
 - c. Define the curriculum and application process for mentors and mentees.
 - d. Plan and conduct leadership functions in conjunction with the annual conference and boot camp.
 - e. Develop and manage a budget that stays within the limits approved by the Board to support the activities of the committee.
- C. Membership
 - a. Chair: Appointed annually by the President and approved by the Board.
 - b. Members: One from each state. The chair may be included as one of the state members.
- D. Tenure: One year

K. Legislative Issues Committee

1. Purpose: This committee is charged with providing information on new and pending legislative activities regarding student financial aid issues to the SWASFAA membership.
2. Duties
 - a. Develop and maintain reliable sources of information concerning new and pending student financial aid issues at the federal, regional, and state levels, with each state member reporting their individual state issues to give the other states a feel for potential issues for their states.
 - b. Compile and edit the information in easily readable summaries as appropriate.
 - c. Distribute the information using the most appropriate media currently available and on a timely basis.
 - d. Assist SWASFAA Board in developing statements as necessary to communicate the position of the association on matters of national financial aid policy and pending or proposed federal legislation.
3. Membership
 - a. Chair: Appointed annually by the President and approved by the Board
 - b. Members: Appointed by the President.

L. Local Arrangements Committee

1. Purpose: This committee is charged with planning and executing the local arrangements of the SWASF AA annual conference in conjunction with the President and the Annual Conference Committee.
2. Duties:
 - a. Meets with the Annual Conference Committee and assists in planning and developing the conference program and theme.
 - b. Arranges the welcoming event to open the conference.
 - c. Selects the entertainment for the evening event.
 - d. Selects the conference gift and assembles the conference packet.
 - e. Assists the SWASF AA Treasurer with the registration desk.
 - f. Coordinates the pickup and drop off of VIP guests and speakers.
 - g. Coordinates decorations, signage, and A/V needs with the hotel convention manager.
 - h. Works with the hotel convention manager and conference committee chair to ensure the facility needs of the conference are met.
 - i. Provide resource information to exhibitors and non-exhibitors concerning off-site events.
 - j. Pack up and return state banners to the respective state presidents after the conference.
 - k. Prepares nametags for all conference attendees.
2. Membership:
 - a. Chair: Appointed by the President and approved by the Board of Directors.
 - b. Members: This committee shall consist of as many volunteers as the chair deems necessary to accomplish the tasks and be adequately prepared for the needs of the conference. The majority of the members should be in the host state of the annual conference.
3. Tenure: One Year
4. Qualifications: Persons should be representative of the SWASF AA membership and serving near or be familiar with the locale of the conference site.

M. Long Range Planning Committee

1. Purpose: The purpose of this committee is to advise the President and the Board with regard to abiding by SWASFAA Articles of Incorporation, Constitution, and By-Laws, maintaining the Association Policies and Procedures, and developing long-term recommendations related to SWASFAA's mission, structure, operation, and service to members.
2. Duties
 - a. Discusses alternatives and makes long-term recommendations regarding SWASFAA's mission, structure, operation, and service to members.
 - b. Reviews and suggests changes to the Association Policies and Procedures.
 - c. Performs other duties as the President/Board of Directors directs.
 - d. Develops a long-range plan for the Association.
 - e. Advises the President and the Board with regard to abiding by the Articles of Incorporation and By-Laws of the Association and assures that proper procedures and structure are followed as outlined in these documents.
3. Membership
 - a. Chair: A Past President appointed by the President
 - b. Members: Appointed by the President
4. Tenure: One year

N. Membership Committee

1. Purpose: This committee is charged with recruitment and retention of SWASFAA membership in all five SWASFAA states, the management of membership records and database, maintenance of a Membership Directory, and providing service to the membership.
2. Duties
 - a. Develops letters, brochures, applications, and orders supplies for membership mailings. Sends out renewal information to membership. Whenever possible, e-mail notifications will be the primary method of contact.
 - b. Sends non-member information packets in April and October.
 - c. Develops a calendar of membership activities.
 - d. Contacts each state delegate to ensure promotion of SWASFAA membership in that state.
 - e. Coordinates name and address changes with the Treasurer. The Treasurer will provide statistical data and submit to the chair for reports.
 - f. Provides statistical information upon request.
3. Membership
 - a. Chair: Appointed by the President and approved by the Board of Directors.
 - b. Members: This committee shall consist of the state delegates should the state membership representative not be able to serve. The Chairperson may or may not serve as a state representative.
4. Tenure: One year.
5. Qualifications: Interested in increasing SWASFAA membership. Willing to commit sufficient time executing duties.

O. Mid-Level Training Committee

1. Purpose: This committee is to develop and carry out at least two workshops for mid-level training annually.
2. Duties
 - a. Develops materials appropriate for use in providing training to mid-level financial aid administrators.
 - b. Conducts and/or supervises mid-level training prior to the annual conference.
 - c. Conducts and/or supervises mid-level training following the first quarter board meeting.
 - d. Makes recommendations to the Board of Directors on additional training needs.
3. Membership
 - a. Chair: Appointed annually by the President and approved by the Board.
 - b. Members: This committee shall consist of at least five (5) members recommended by the Chair and appointed by the President.
 - c. Qualifications: Members will demonstrate adequate knowledge of financial aid applicable to the needs of the committee. Members may be required to possess credential or certification appropriate to topics being presented at each training.
4. Tenure: One year.

P. Nominations and Elections Committee

1. Purpose: This committee is charged with selecting nominees for SWASFAA offices and preparing the slate of candidates; carrying out a fair SWASFAA nominations and election process; and encouraging SWASFAA members to run for national office and fully participate in the NASFAA elections process.
2. Duties
 - a. Selects a slate of candidates for SWASFAA offices. Committee shall work closely with state presidents and the membership in selecting candidates. Selections are to be made in accordance with criteria approved by the Board of Directors.
 - b. Submits list of nominees to the Board of Directors for approval at least thirty (30) days prior to the announcement of the slate of candidates. Once approved by the Board of Directors, the slate of candidates, including résumés, is presented to the membership.
 - c. Schedules and supervises the SWASFAA election process.
 - d. Encourages and supports SWASFAA members to run for elected NASFAA offices and participate fully in the NASFAA elections process.
 - e. Brings to the attention of the Board other items of importance.
 - f. Responsible for the integrity of counting the ballots.
3. Membership
 - a. Chairperson: Immediate Past President.
 - b. Members: Five SWASFAA members, one from each state
4. Tenure: One Year
5. Qualifications

Persons should be representative of and well acquainted with a significant portion of the membership. It should be noted that Nominations & Elections Committee members may not be slated to run for office during their tenure.

Q. Site Selection Committee

1. Purpose: This committee is charged with identifying and recommending an appropriate site for the Annual Conference and other events sponsored by the Association. This may also include Boot Camp, Board Meetings, Planning Retreats, etc.
2. Duties
 - a. Notifies the state association whose turn it is to host an Annual Conference according to the established rotation schedule.
 - b. Examines hotel properties within the selected host state and prepares information on viable properties for final determination by the Board. The committee must also consider access and transportation arrangements.
 - c. Negotiates the best possible contract with the selected hotel to ensure adequate room blocks and public space.
 - d. Presents negotiated contracts to the Board with recommendations for approval.
 - e. Maintains the conference calendar and helps promote each annual meeting.
 - f. Brings to the attention of the Board any changes or other items of importance related to existing or pending contracts including negotiations for room blocks at overflow hotels.
 - g. Assists the President with securing room rates and meeting space for Board of Director's meetings and other associational events as requested by the President.
3. Membership
 - a. Chair: Appointed by President and approved by Board. The Chair will be an institutional or associate member with experience and skill in contract negotiations.
 - b. Members: Should consist of one member from each state.
4. Tenure: One year, subject to renewal.
5. Qualifications: Persons should be well acquainted with SWASFAA activities and experienced in hotel contract negotiations.

R. Training and Continuing Education Committee

1. Purpose: This committee is to develop training opportunities for the Association as directed by the Board of Directors.
2. Duties
 - a. Makes recommendations to the Board regarding SWASFAA's professional development needs.
 - b. Studies the developments in the financial aid and management fields as they affect the nature of the profession and the needs of personnel.
 - c. Following approval of a topic for training by the SWASFAA Board of Directors, develops materials or identifies other training opportunities appropriate for presentation to the membership for professional advancement.
 - d. Conducts or coordinates professional development events with approval from the Board of Directors.
3. Membership
 - a. Chair: Appointed annually by the President and approved by the Board The chair will coordinate training opportunities for the region
 - b. Members: Trainers should consist of one from each state. The Chair may be included as one of the trainers.
4. Qualifications: Members shall be experienced aid administrators who have experience in training and professional advancement work.

IV. Nominations and Elections Guidelines

Strong leadership is essential to a strong association. The following guidelines have been developed to ensure that the best people are nominated and elected to office.

a. Authority

Nominations and elections policies and procedures are approved by the Board of Directors upon recommendation of the Nominations and Elections Committee.

b. Nominations Procedures

There are many tasks that must be accomplished so that qualified (defined as an active member of the association) people will be nominated and the best possible candidates selected for election. The Nominations and Election Committee Chair shall call for recommendations from the entire membership. These recommendations should be accompanied by a mini-résumé to assist the committee in making final selections for the slate.

c. Information Dissemination

In developing the slates of candidates for positions in SWASFSA, the Association is committed to striving for the widest participation possible by all members of the Association. In order to achieve this objective, the following procedures shall be followed:

- i. At least sixty (60) days prior to the deadline for nominations, the NEC shall announce to the membership information about the nominations and elections procedures including a list of the NEC members, the positions for which nominations are sought, nominating procedures, election procedures, and the requirement that persons nominated must hold regular membership in the Association.
- ii. At least sixty (60) days prior to the deadline for nominations, the Chair of the NEC shall send information similar to that contained in the announcements to the general membership directly to the state association presidents. The NEC shall invite them to encourage participation of SWASFSA members in the nominations and election process.

d. Candidate Information

Each nomination submitted should be accompanied by the SWASFSA Nominations and Elections forms designated for this purpose.

e. Submission of Nominations

Nominations from the SWASFSA members shall be submitted in writing to the NEC Chair and received by July 1 each year.

The NEC may seek additional candidates provided they are recruited prior to the meeting during which the NEC selects the slate for the ballot.

f. Developing the Slate of Candidates

- i. Elections of the Access and Opportunity Office and Delegates-at-Large from Arkansas, Louisiana, and New Mexico shall be in alternate years from Oklahoma and Texas. Further, the election of the Secretary shall be at the same time as delegates from Oklahoma and Texas.
- ii. The Chair will certify the nominees as eligible for nomination, reproduce the information received from the nominees, and distribute it to each member of the NEC as it is received.
- iii. If a résumé is not received by the close of the July Nominations and Elections Committee meeting (the meeting to choose the slate), the candidates will not be considered for a place on the ballot.

This information should be presented in writing to all candidates who are nominated, and the Nominations and Elections Committee Members should follow-up with those candidates. The NEC shall develop the official slate no later than July 31. Nominees may be selected from among those names submitted by others or from names that the NEC has recruited. Additionally, the following policies shall apply to all offices:

1. The slate shall contain the names of only two candidates per office.
2. To achieve broad and equitable balance in selecting the two candidates for each office, the NEC will study the qualifications of individuals and representation by types of institutions, states, race, and sex and will select the most qualified individuals.

g. Elections Procedures

By August 1 or as soon as the slate of candidates is finalized, the NEC Chair shall prepare the mechanics of the election. This shall include the following:

- i. Contact the Chair of the Electronics Initiative Committee to:
 1. Review and re-establish with the Service Provider the mechanical procedures for the election.
 2. Submit collected photos, résumés and statements of candidacy to the Chair of the Electronic Initiatives Committee for use in creating the electronic ballot.
 - i. A résumé should be no more than one page for each candidate nominated.
 - ii. A statement of candidacy should not exceed one page for each candidate for President-Elect.
- ii. Ballots shall have a space provided for the write-in of candidates.
- iii. Contact the Treasurer to request a list of eligible voting members for the Service Provider to establish the usernames and passwords.
- iv. Notify potential voters, through the SWASFAA listserv or similar means, of the upcoming election procedures.
- v. Make ballots available electronically through e-mail notification to the designated voting member of each regular member institution of their usernames and passwords as well as the voting instructions and the deadline date clearly indicated.
- vi. Voting by proxy will not be permitted.
- vii. Ten (10) business days following the initial notification to eligible voting members that the voting process has begun, electronic voting should be disabled and final ballots received.

h. Counting of Ballots

- i. The NEC Chair is responsible for verifying and tabulating the results of the election. At least one other SWASFAA Board of Directors member or NEC Committee member should verify the tabulated results.
 - ii. Votes will be tabulated, recorded, and the results turned over to the NEC Chair, who will then submit written results of the election to the Board of Directors.
 - iii. The NEC chair, upon final election results being submitted to the SWASFAA Board of Directors, shall notify candidates of the results of the election.
- i. Required Number of Votes to Win

For any position covered by these guidelines, the number of votes required to win an election is a plurality of the votes cast.

In the case of a tie vote, the NEC shall conduct a run-off election as soon as the electronic process can be set up on the Association web site. The NEC Chair will notify the membership of the run-off election procedures ten (10) business days prior to the start of voting. Ballots will be open for no more than ten (10) business days.

j. Announcement of Election Results

Results of the election will be announced to the membership at a business session of the Association prior to the end of the Conference and will be published to the listserv following the elections.

k. Disposal of Ballots

After the Board of Directors has been notified of the election results and has approved the deletion/destroying of the ballots, the NEC Chair shall cause the deletion of ballot tallies and voting records.

l. SWASFAA Nomination and Elections Committee Calendar

March

Announce the opening of the nominations process and nominating instructions through the Association web site and the SWASFAA listserv.

April – June

Continue to solicit nominations and send reminders to the listserv that all nominations should be received by June 30.

July

Nominations and Elections committee will meet to develop final slate of candidates.

Send letter to candidates seeking background information.

Send out a series of e-mail blasts to remind schools to update the membership database with the correct primary contact/voting person prior to the opening of balloting.

August 1

Report recommended slate of candidates to the Board of Directors for approval.

Prepare election mechanics to include the electronic ballot and relevant biographical information for each candidate.

August 15

Notify all eligible voting members of SWASFAA of election procedures

September 15

Voting begins. Ballots open for ten (10) business days.

At close of voting

Send results to the Board and then, after Board approval, to the listserv.

V. Special Elections Guidelines

In certain instances, a special election may be held to fill a vacancy in an elected office, or to fill an unforeseen vacancy or in the case of a tie vote. The following guidelines have been developed to ensure that the best people are nominated and elected to office.

A. Authority

Nominations and elections policies and procedures are approved by the Board of Directors upon recommendation of the Nominations and Elections Committee (NEC).

B. Nominations Procedures

There are many tasks that must be accomplished so that qualified (defined as an active member of the Association) people will be nominated and the best possible candidates selected for election. The Nominations and Election Committee Chair shall call for recommendations from the entire membership. These recommendations should be accompanied by a mini-résumé to assist the Committee in making final selections for the slate.

C. Information Dissemination

In developing the slates of candidates for positions in SWASFAA, the Association is committed to striving for the widest participation possible by all members of the Association. In order to achieve this objective, the following procedures shall be followed:

1. At least ten (10) days prior to the deadline for nominations, the NEC shall announce to the membership information about the nominations and elections procedures including a list of the NEC members, the positions for which nominations are sought, nominating procedures, election procedures, and the requirement that persons nominated must hold regular membership in the Association.
2. At least ten (10) days prior to the deadline for nominations, the Chair of the NEC shall send information similar to that contained in the announcements to the general membership directly to the state association presidents. The NEC shall invite them to encourage participation of SWASFAA members in the nominations and election process.

D. Candidate Information

Each nomination submitted should be accompanied by the SWASFAA Nominations and Elections forms designated for this purpose.

E. Submission of Nominations

Nominations from the SWASFAA members shall be submitted in writing to the NEC Chair once the special election notification has been sent to membership.

The NEC may seek additional candidates provided they are recruited prior to the meeting during which the NEC selects the slate for the ballot.

F. Developing the Slate of Candidates

1. The Chair will certify the nominees as eligible for nomination, reproduce the information received from the nominees, and distribute it to each member of the NEC as it is received.
2. If a résumé is not received by the close of the nomination period, the candidates will not be considered for a place on the ballot.

This information should be presented in writing to all candidates who are nominated, and the Nominations and Elections Committee Members should follow-up with those candidates.

- a. The slate shall contain the names of only two candidates per office.
- b. To achieve broad and equitable balance in selecting the two candidates for each office, the NEC will study the qualifications of individuals and representation by types of institutions, states, race, and sex and will select the most qualified individuals.

G. Elections Procedures

As soon as the slate of candidates is finalized, the NEC Chair shall prepare the mechanics of the election. This shall include the following:

1. Contact the Chair of the Electronics Initiative Committee to:
 - a. Review and re-establish with the forum to be used for voting the mechanical procedures for the election.
 - b. Submit collected photos, résumés and statements of candidacy to the Chair of the Electronic Initiatives Committee for use in creating the electronic ballot.
 - i. A résumé should be no more than one page for each candidate nominated.
 - ii. A statement of candidacy should not exceed one page for each candidate for President-Elect.
2. Ballots shall have a space provided for the write-in of candidates.
3. Notify potential voters, through the Google Group or similar means, of the upcoming election procedures.
4. Make ballots available electronically through e-mail notification to the designated voting member of each regular member institution, the voting instructions, and the deadline date clearly indicated.
5. Voting by proxy will not be permitted.
6. Ten (10) business days following the initial notification to eligible voting members that the voting process has begun; electronic voting should be disabled and final ballots received.

H. Counting of Ballots

1. The NEC Chair is responsible for verifying and tabulating the results of the election. At least one other SWASFAA Board of Directors member or NEC Committee member should verify the tabulated results.
2. Once votes are tabulated the NEC Chair will submit written results of the election to the Board of Directors.
3. The NEC chair, upon final election results being submitted to the SWASFAA Board of Directors, shall notify candidates of the results of the election.

I. Required Number of Votes to Win

For any position covered by these guidelines, the number of votes required to win an election is a plurality of the votes cast. In the case of a tie vote, the NEC shall conduct a run-off election as soon as the electronic process can be set up on the Association website. The NEC Chair will notify the membership of the run-off election procedures ten (10) business days prior to the start of voting. Ballots will be open for no more than ten (10) business days.

J. Announcement of Election Results

Results of the election will be announced to the membership via the website and published to the listserv following the elections.

K. Disposal of Ballots

After the Board of Directors has been notified of the election results and has approved the deletion/destroying of the ballots, the NEC Chair shall cause the deletion of ballot tallies and voting records.

VI. Miscellaneous Policies and Procedures

A. Accounts Receivable Policy

The Treasurer's responsibility will be to follow up periodically on all receivables and advise the Board of their status at least quarterly. Write-offs will be reported to the Board via the Treasurer's report.

Before writing any receivable off as an uncollectible bad debt, the Treasurer must bring the action before the Board for approval of the write-off.

When the receivable is the result of unpaid membership dues, late fees, or unpaid sponsor fees, etc., the Treasurer will notify the forward year Conference Registrar and attempt to collect at the point when future participation is anticipated. Registration will not be permitted to those with outstanding debts to the Association.

B. Reserve Fund Policy

1. Purpose

The Reserve Fund has been established as capital reserve for the Association to be set aside for contingencies.

2. Fund Levels

The level of funds to be maintained in the Reserve Fund will be a minimum of \$20,000. The Reserve Fund shall be subject to annual review by the Finance Committee and quarterly review by the Board. Any change in the amount of the fund shall require a majority vote of the Board of Directors.

3. Use of the Reserve Fund

The intent of the Reserve Fund is to have the funds available to meet unusual income shortfalls. Any withdrawal from the fund is defined as capital liquidation and therefore should be considered an extreme measure. Withdrawals from this fund require a majority vote of the Board of Directors.

4. The Reserve Fund Account

The Reserve Fund shall be so identified and maintained separately from the Association's operating account and managed according to sound financial investment policies. A separate report format shall be a part of any Treasurer's report detailing the balance of the fund and interest earned. Any adjustment required to maintain the reserve requirement shall be made at least annually. Interest earned from the reserve fund may remain with the account.

C. Revenue and Expenditures Policy

It is essential that ALL SWASFAA funds are managed by the Treasurer, all income deposited into a SWASFAA account and all expenses paid from one account. This will simplify and expedite the filing of the IRS tax return and the annual audit or financial review. It also facilitates cash flow and maximizes interest income. The following outline details specific policies and procedures with respect to SWASFAA's funds management.

1. The Treasurer shall have sole responsibility for all of SWASFAA's financial transactions including:

a. Writing of all checks

a. Issuing all refunds

- b. Payment of all expenses
 - b. Receiving of all income
 - c. Arranging for the banks and investment agents to mail all statements to the President. The President will use the statements for reference purposes and will sign the quarterly reconciled financial report that is presented at the scheduled board meetings. The President shall review the statements on a monthly basis.
 - d. Reconciling all bank statements.
2. Operating Accounts
- 1. SWASFAA shall have only one operating account. The operating account should have on-line access with administrative capability for the Treasurer and, if possible, viewing capability for the President and President Elect.
 - 2. Membership dues, Conference fees, and event fees will be deposited into the operating account. Excess funds in the operating account should be transferred to the investment account. Investment account funds can be transferred back to the operating account when needed as determined by the Treasurer.
 - 3. All checks over \$5000 shall require two signatures. The President's approval shall be required on all expense vouchers before the Treasurer can issue a check with the exception of regularly scheduled bill payments for contracted services. The Immediate Past President's approval is required on all expense vouchers for the President.
 - 4. Checks requiring two signatures will include any two of the following:
 - a. Treasurer
 - b. President
 - c. Immediate Past President
 - d. President Elect
 - 5. The address of the President shall appear on the account.
 - 6. Debit/Credit cards shall be issued to the following officers of the Association:
 - (1) President
 - (2) Immediate Past President
 - (3) President Elect
 - (4) Treasurer

At the start of each fiscal year, the President will notify the Bank regarding new officers and to remove outgoing officers from the debit/credit card renewal list.

- 7. Officers' debit/credit cards should have an expiration date one year from the start of their term of office. Card limits should be set at \$3000 per day per card.
- 8. Debit/credit card charges that are not documented within 30 days of the date of the charge will be billed to the debit/credit cardholder.
- 9. Debit/credit cards may only be used for charges that are related to SWASFAA travel and expense guidelines. Debit/credit card charges for items not related to official SWASFAA duties may result in the termination of debit/credit card privileges and require the holder to surrender the card to the SWASFAA Treasurer. The SWASFAA Board realizes that in some circumstances (i.e., arranging flight seating, meals, and taxi) officers traveling with spouses may be inconvenienced to split tickets onto separate cards. In cases where a spouse's charges are included with other SWASFAA expenses, the officer must immediately reimburse SWASFAA for the charges at the completion of the travel. The use of cards for shopping or non-SWASFAA-related purchases is strictly prohibited.

10. ALL SWASFEE income and expenses shall pass through this account
 - (1) All deposits will be made in a timely fashion (at least twice monthly)
 - (2) Accounts payable shall be made within 30 days. (Maximize interest income to the extent possible.) Every effort will be made to reimburse individual SWASFEE members as quickly as possible.
11. The Treasurer is not authorized to cash personal checks.
12. A purchase order does not constitute payment and will not be accepted on site.
3. Annual Conference Income and Expenses
 - a. Income (registration fees, sponsor income, etc.)
 - a. Shall be forwarded to the Treasurer within 7 – 10 working days for deposit to the SWASFEE Checking Account
 - b. The Corporate Relations Committee and Treasurer shall identify the sources of the income, i.e., registration fees, exhibitor and non-exhibitor income, membership dues, pre-conference income, etc.
 - c. income, etc.
 - b. All conference expenses shall be paid from the SWASFEE operating account. Completed, signed, and dated reimbursement forms shall be attached to all invoices, contracts, etc.
4. Workshop Income and Expenses
 - a. Income
 - 1) All checks received are to be made payable to SWASFEE.
 - 2) All registration fees and membership dues paid at the site should be received only by the workshop or arrangements coordinator
 - 3) All funds will be forwarded to the Treasurer within 7 – 10 working days for deposit to the SWASFEE operating account.
 - 4) Under no circumstances will an agency/institution be allowed to receive and hold SWASFEE funds, deduct SWASFEE expenses, and remit the excess income to SWASFEE.\
 - b. Expenses: Same as 3.b. above (conference expense).
5. Conference and Workshop Accounts Receivable
 - a. Within 30 days after the conclusion of the event, the Treasurer shall identify a complete list of outstanding accounts.
 - b. A meeting will be set up with the site to establish who is responsible and has authorization for expenditures.
 - c. The Treasurer shall be responsible for billing and collecting these funds according to the SWASFEE Accounts Receivable Policy.
- a. Membership Dues Income
 - a. Dues are to be received by the Treasurer with a membership form.
 - b. Payments should be deposited in a timely fashion to the SWASFEE operating account.
 - c. The Treasurer and the Membership Committee Chair will coordinate their activities to update the membership database on the website on a weekly basis.

D. Investment Policy

1. Purpose

Good financial management dictates that surplus assets are to always be utilized to provide strength and stability to an organization. Therefore SWASFAA's surplus assets are to be applied in such a manner that they will be safeguarded and used in the production of the Association's goals and revenue.

2. Authorization to Invest

The Association President and the Treasurer have the authority and responsibility to invest surplus assets in sound and secure investments. Funds may be moved from one investment to another with written approval by the Treasurer and President. The Board of Directors will be notified of any changes in investments in the monthly financial statement or next meeting of the Board, whichever shall first occur.

3. Types of Funds To Be Involved

- a. General Fund
- b. Reserve Fund

4. Type of Investments

- a. The Treasurer in consultation with the President is authorized to invest in the following U.S. Government funds:

- 1) Treasury Bills
- 2) Certificates of Deposit
- 3) Short Term Bonds
- 4) Short Term Notes

- b. Additionally, investments may be made in:

- 1) Bank Certificates of Deposit
- 2) Commercial Paper & Deposits in Commercial Banks
- 3) Money Market Funds
- 4) Savings Banks/Credit Unions

5. Restrictions

Investments in financial institutions must be federally insured and may not exceed \$100,000, including interest, in any one institution. Investment not federally insured, such as stocks and/or bonds must be approved by the Board of Directors.

E. Stale Check Policy

1. All SWASFAA checks will be marked "VOID after 90 days." If a check becomes void, it is the payee's responsibility to request in writing that a duplicate be issued. Such requests will be sent to the Treasurer. If no request is received, the check will be declared "stale."
2. A stale check that is later reissued will be charged to:
 - a. The same account from which it was originally issued if the fiscal year records are still open.
 - b. An account in the current year titled "Prior year(s) expenditures" when the stale check is from a closed prior fiscal year.
3. An on-going "Stale Check Record" will be maintained as a part of SWASFAA's permanent financial records.
 - a. It will not be openly publicized to the membership.

- b. A copy will be made available upon request to any SWASFAA member.

NOTE: By declaring a check stale, SWASFAA is not relinquishing its obligation to the payee. In other words, SWASFAA does not deem it necessary to remind the payee to cash a check.

F. Contract Signing Policy

1. Purchases, commitments, contracts, etc., which are greater than \$750 require a written contract. Contracts which are greater than \$5000 require the Board of Director's approval before the President is authorized to sign contracts on SWASFAA's behalf.
2. Contracts, which involve hotels and/or conference center properties, will be reviewed by the Site Selection Chair prior to the President's signature.
3. Contracts, which include non-hotel properties, i.e., printing, supplies, entertainment groups, etc., will be reviewed by the responsible committee chair for the activity/event prior to the President's signature.
4. The President signs all contracts. The President Elect will sign in the event that the President is unavailable.
5. An original copy of each signed contract shall be given to the Treasurer prior to paying expenses related to the contract.

NOTE: "Contract" in this policy statement is meant to include purchase orders, letters of intent and the like.

G. Travel Policy

1. Officer Travel Policy

Several times during the course of a membership year, SWASFAA Officers are requested to make appearances at State Conferences. SWASFAA encourages and will assume the financial responsibility of sending the President, or, in his/her absence, another member delegated by the President to these conferences.

- a. Any state that requests the presence of the President at its state meeting or conference should note that SWASFAA does encourage this type of participation and that this policy is established with the hope that all states will invite the SWASFAA President to their functions whenever possible. SWASFAA will pay expenses for the flight and meals for the President to attend one state meeting a year. The states are responsible for the President's lodging and registration fee. If a state wishes to have the president in attendance at more than one meeting, all costs will be at the state's expense.
- b. SWASFAA will pay all incurred expenses of the President, Secretary, and Treasurer to the SWASFAA annual conference. In addition, SWASFAA will pay the conference fee and room expenses for the President-Elect and Immediate Past President to attend the annual conference.
- c. SWASFAA will pay expenses of the President Elect to meetings of the NASFAA Board of Directors. NASFAA will pay expenses of the President and Past President to attend meetings of the NASFAA Board of Directors, except for the meeting held in conjunction with the National Conference. For that meeting airfare or travel to that meeting will only be paid for the President. NASFAA will pay room and per diem for expenses relative to the Board Meetings. SWASFSA will pay for all expenses for the NASFAA conference for the President which includes, conference fee, travel, room, and meals.

2. General Travel Policy

- a. Members of the Board will receive reimbursement for travel expenses related to attendance at Board Meetings. Exceptions to this will be to the SWASFAA Annual Conference. For the board meeting directly preceding the annual conference, SWASFAA will pay for one (1) hotel night (typically the night prior to the conference). The exception to this will be the President, President-

Elect, Immediate Past President, Secretary and Treasurer, where all hotel nights for the board meeting and conference will be paid (see G.1.b).

- b. SWASFAA committee members will receive reimbursement for travel expenses related to attendance at committee meetings following the guidelines below.
 1. All travel associated with committee work should be authorized by the President prior to the scheduled meeting.
 2. Air reservations should be made as early as possible in order to take advantage of low rates (i.e., "super-saver fares"). Travel agents should be asked about special rates since they do not always offer the special rate unless asked. If a flight is over \$500, the person booking the flight must seek approval from the president before making the travel arrangements. Upgrades such as advanced boarding or flight insurance are not included in the reimbursement for Airfare. Baggage charges for overnight flights will not be paid for by SWAFAA unless approved by the President or his/her designee'.
 3. Recommended tip amounts are \$1-2 to porters, baggage carriers, bellhops, cab drivers, shuttle drivers, housekeepers, etc. Tips may not exceed \$3 per day. Receipts are not required.
 4. Reimbursement Claim Forms must be signed by the claimant, by the appropriate committee chair, AND the President before payment may be made. The President must approve requested reimbursement of the committee chair's expenses and can request additional documentation to clarify reimbursement if needed. Reimbursement of the President's expenses must be approved by the immediate Past-President. If the appropriate committee chair and/or President have not signed the submitted voucher, the Treasurer must document approval via an e-mail from the appropriate person authorizing the requested reimbursement of the expenses.
 5. Deadline for submission: In order to receive reimbursement for approved travel expenses, the SWASFAA Reimbursement Claim Form should be received by the Treasurer within 30 days of the travel date.
 6. The Board of Directors has approved the use of electronic claim forms. In lieu of 'wet' signatures, the Treasurer is authorized to accept electronic claim forms submitted directly from the approving officer. Scanned or faxed claim forms and receipts must be submitted to the approving officer. The approving officer will review and sign the claim form and submit scanned or faxed copies of the signed claim forms and receipts to the treasurer for reimbursement.
 7. Required Receipts
 - a. Transportation: The original receipt (final copy of the airline ticket or itinerary/invoice for ticketless travel) is required for airfare reimbursement. When traveling by air, delegates shall travel air coach except in those cases when scheduling difficulties or other considerations make first-class travel necessary. If a delegate is using a private car, he/she will be reimbursed at the IRS rate per mile. Normally this is not to exceed the cost of coach airfare. To receive reimbursement, a copy of a searched airfare costs should be attached to mileage reimbursement requests unless the distance to the location is close by and it is common practice to drive to the location of the meeting. In some instances, mileage could be more than airfare such as instances where the individual lives quite a distance from the airport and would have to receive mileage plus airfare. This will be evaluated on a case-by-case basis by the committee chair and/or the President.
 - b. Lodging: Itemized billing from the hotel must be submitted unless the room is billed on a master billing. Lodging must be itemized by the day on the expense claim form.
 - c. Parking: Receipts are required for parking charges.
 - d. Taxi or Ferry: Ground transportation to and from meeting facilities/lodging facilities shall be approved, provided they are reasonable. In addition, rental cars needed to reach a required destination must be approved by the President and Treasurer in advance of the

expenditure. Receipts are required for charges in excess of \$25.

- e. Miscellaneous Expenses: Whenever possible, receipts are requested for miscellaneous expenses in excess of \$10 per day and should be itemized on the travel claim form.
- f. SWASFAA adheres to the domestic per diem rates as specified by the U.S. General Services Administration (GSA), which can be found at <http://www.gsa.gov/portal/content/110007>. If a meal is provided at the meeting, other eating arrangements will be a personal expense. Meal allowance amount will include between 15-20% gratuity. Receipts are generally required for reimbursement of meals and should include the itemized transaction amounts rather than only the final bill amount. For group meals, a list of names of people who attended the meal should be attached to the receipt or documentation. In some cases, the Treasurer may waive the requirement for a receipt for a meal charge claimed on the reimbursement form in advance of the meal (i.e., reimbursing a board member for the trip home meal at the board meeting).

8. Travel Interruptions

- a. Reimbursement for reserved travel changed or cancelled because of weather, mechanical, airline-initiated flight cancellations, unexpected death of a family member or extraordinary circumstances beyond their control is allowable. Contact the SWASFAA President and or SWASFAA Treasure as soon as possible. Indicate the reason for the cancellation and provide any supporting documentation with the Reimbursement Claim Form.

H. Resolutions Policy

1. Origin of Resolutions

Resolutions may originate, be developed, and submitted by any individual SWASFAA member alone or in concert with other(s) directly to the President or through any of the following channels:

- a. Member-state Associations
- b. Any member-state committees and/or their chairperson
- c. SWASFAA's Board of Directors
- d. Individual member representatives

2. Time of Submission

Ordinarily, resolutions should be submitted to the President (to the chair and/or any member) at least one month in advance of the Annual Conference business meeting. This is necessary in order for the Board to properly review, edit, and combine the various proposals submitted. Resolutions will not be accepted after this deadline unless the Board of Directors deems the circumstances warrant a late submission.

3. Form and Content

The resolutions must be prepared with care so as to avoid ambiguity and confusion as to their content. Any introductory remarks when found necessary should be concise and as briefly stated as possible.

4. Editing Privileges and Responsibilities

- a. The Board of Directors must review and clear all resolutions to ensure their compliance with SWASFAA's Articles of Incorporation, Constitution, and By-Laws.
- b. The Board is responsible for eliminating duplication, combining related proposals, and editing for corrections, brevity, and clarity.
- c. The Secretary will present the resolutions in writing to the membership at the Annual Conference.

I. Alcohol Policy

For GROUP MEALS of the Board of Directors and SWASFAA Committees with one check or master billing, alcohol is to be excluded from the bill, as SWASFAA will not pay for alcohol. Members are responsible for paying for their own alcoholic beverages.

SWASFAA Committee Chairs are responsible for the compliance to this policy as it affects master billing or a group meal check. Committee Chairs are strongly encouraged to request separate checks whenever possible, and encourage members, when dining in a group, to do the same. Reimbursement Claim Forms received without proper documentation and breakdown will be returned to the Committee Chair for review, correction, and approval.

J. Label Policy

1. All requests for labels and/or rosters of the membership will be made to the SWASFAA Treasurer who will approve and coordinate all orders.
2. The following charges will be in effect for label and/or roster services:
 - a. For commercial purposes, the cost of any label set will be \$150.00. The cost of any roster will be \$75.00.
 - b. Labels and rosters for dissertations, publication work of students and researchers, and requests by SWASFAA members on behalf of their institutions to announce job vacancies/openings will be provided at a 50% discount of the commercial rate.
 - c. Labels for all SWASFAA or NASFAA purposes and committees will be provided at cost.
 - d. The Board may reduce or waive label and/or roster charges in special circumstances.

K. ListServ Policy

Following are policies to which SWASFAA Listserv (SwasfaaL) subscribers should adhere:

1. Messages to SwasfaaL must have a subject.
2. When posting a message to the listserv, the address SwasfaaL@swasfaa.org must appear in the TO: field of the email. Messages copied to more than 5 recipients or with recipients in the BCC: field, will be rejected.
3. Subscriptions for individuals, whose email is generating an "autoreply", indicating their absence from work and is directed to either all of SwasfaaL, the list administrators, or the individual subscribers, may be suspended. It is recommended that you unsubscribe or suspend your subscription by visiting the "listserv" link on swasfaa.org prior to your absence. Follow the instructions for managing your subscription.
4. Messages to SwasfaaL are to be kept "on topic"; they should be related to the administration of financial aid.
5. SwasfaaL is not to be used for business purposes. Implicit in this statement is advertising. For-profit, nonprofit, and government entities are not permitted to use SwasfaaL as a vehicle for advertising their products or services. This includes products and services for which there is no cost. Service and operational announcements by these entities can be made if they are open to all members of SWASFAA and do not promote the entity or its products. Job change announcements should be for informational purposes (i.e. new company, title, phone numbers, address) and not include any promotion of the institution or company. Exceptions to this policy can only to approved by the SWASFAA Board.
6. "Job Wanted" postings are not permitted. Rather, we suggest that you reflect your availability in your signature area.

For example: Advisor position sought: www.myschool.edu/smiths_resume.html

7. "Position Available" postings are permitted. These should be absent any advertisement promoting the institution or company with the position available. The emphasis should be on the open position, not the institution or company.
 8. Virus messages, e-mail scams, and the like are not permitted. In general, our individual organizations should have policies in place to deal with these threats (virus software, for example). SwasfaaL should not be the vehicle for those types of announcements. Exception: If your information regarding a threat has specific and direct bearing on the Financial Aid community, please contact the Electronic Initiatives Committee Chair for clearance.
 9. Postings in excess of 200 lines are rejected. Shorten the message, or provide a URL in the body of the message to point to other relevant information.
 10. When posting messages with attachments, "plain text" attachments are encouraged for the convenience of the readers.
 11. The SwasfaaL Digest is generated daily. If collective size of postings on a particular day exceeds 30Kb, the Digest is generated immediately, and also at the scheduled time.
 12. Replies to a message distributed via SwasfaaL are set to default back to the poster of the original message. You can redirect your reply to all of SwasfaaL, as appropriate, by manipulating the TO: address in your message.
 13. TEST messages are not permitted. If you have difficulty posting or are in need of further assistance, please contact support@swasfaa.org.
 14. Subscriptions for individuals whose e-mail bounces for five days will be suspended. Since bouncing e-mail is evidence of a problem somewhere, the only awareness you may have of the situation may be the absence of SwasfaaL postings in your mailbox. Contact support@swasfaa.org if you feel you have been suspended.
- L. Conference and Workshop Registration and Complimentary Room Policies

1. Membership Dues Payment

Annual dues for SWASFAA are established by the Board of Directors. The membership year is January 1 through December 31. Requests to bill for dues after conferences or workshops should be refused. If, as a result of this policy, dues are paid twice, a refund of the amount overpaid will be made promptly by the Association's Treasurer.

2. Registration Fee Refund Policy for Annual Conference/Workshops

- a. If a member pre-registers and cannot attend an activity, the member must complete the **Cancellation Form**, and submit it to the Treasurer prior to the published cancellation deadline in order to obtain a refund.
- b. Cancellation fees will be established in coordination with the Treasurer and the Board of Directors. The Treasurer shall confirm that the fee was received and issue the refund.
- c. Exceptions for extenuating circumstances to item b. above may be granted upon approval of the Treasurer and President. Such requests must be postmarked within fifteen days after the activity.

3. Waiver of Registration Fee

All persons attending the Conference will be expected to pay the registration fee with the following exceptions:

- a. SWASFAA President
- b. SWASFAA Immediate Past President
- c. SWASFAA President-Elect

- d. SWASFAA Secretary
- e. SWASFAA Treasurer
- f. NASFAA National Chair
- g. NASFAA President
- h. NASFAA National Chair or Chair-Elect
- i. U. S. Department of Education Officials, up to 3
- j. Speakers outside the profession (for the appropriate period)
- k. Annual Conference Chair
- l. Local Arrangements Chair
- m. Boot Camp Chair
- n. Corporate Relations Chair

4. Reimbursements, Honoraria, and Travel Expenses

- a. SWASFAA members who serve as conference speakers/presenters may not be reimbursed for any personal expenses related to the conference (i.e. registration, transportation or room and board) or paid a fee or honorarium. This general policy also applies to individuals who work for agencies whose business is financial aid (e.g., ACT, CSS, etc.).

An exception to this policy may be made by the Conference Program Chair and President for those members who are non-practicing financial aid administrators who would otherwise not receive reimbursement for their expenses.

- b. SWASFAA members and non-member presenters may be reimbursed for copying materials only with the approval of the committee chair coordinating the event.
- c. The Conference Committee is authorized to pay travel expenses, hotel accommodations and meals for the non-member speakers for appropriate periods.
- d. The Conference Committee will ask if the non-member speakers will charge any additional fees (i.e., honorariums, stipends). Approval of the Conference Committee Chairperson is needed before final commitments are to be made.
- e. Any speaker honorariums of \$750 or more require written contracts. The President reviews and signs such contracts. A sample speaker's contract is included in the Appendix.
- f. Consideration for honoraria for non-members who provide service "beyond the call of duty" to committees shall be up to the discretion of the committee chair. The amount is not to exceed \$100, provided such funds exist within the budget of the committee.

5. Complimentary Room Policy

Future contracts with hotels will provide for the following (to the extent possible):

- a. Complimentary Suites: One "Grand Suite" for the SWASFAA President. Attempt will be made to have this room available complimentary the night of the close of the Conference.
- b. Standard Rooms will be provided by the Association for the following:
 - 1) Conference Guest Speakers (for appropriate period)
 - 2) NASFAA President
 - 3) NASFAA Chair
 - 4) NASFAA interregional visitors
 - 5) SWASFAA Local Arrangements Chair
 - 6) SWASFAA Immediate Past President
 - 7) SWASFAA President-Elect
 - 8) SWASFAA Secretary
 - 9) SWASFAA Treasurer
 - 10) SWASFAA Annual Conference Chair

If a particular property is unwilling or has an insufficient number of rooms to make available to the

Association without charge, SWASFAA will provide rooms for the individuals indicated. The rooms will be charged to the conference master bill.

M. Conference Exhibitor and Non-Exhibitor Policy

1. Policies

In an effort to be as transparent as possible regarding the appearance of possible conflicts of interest among lenders and financial aid administrators, it is in the best interests of the Association and its members to define the scope of permissible involvement by prospective contributors and exhibitors at the SWASFAA Annual Conference. Below are policies and procedures that are applicable to all entities that desire either to support SWASFAA activities as a non-exhibitor, as an exhibitor at the SWASFAA conference, or as an advertiser in a SWASFAA publication. These policies and procedures will clarify our relationship with the entities that support our efforts in a manner that is consistent with the SWASFAA Code of Conduct in avoiding any appearance of conflict of interest.

2. Advertisers

All advertising must consistent with Internal Revenue Service requirements and align with "Exhibitor Benefits" and "Membership Benefits" outlined below.

3. Exhibitors at the Annual Conference

Prospective exhibitors at the SWASFAA Annual Conference must agree to the rules and procedures outlined below. A prospective exhibitor who does not agree to these rules and procedures will not be permitted to exhibit, and an exhibitor who violates any of these rules must promptly cease any such action, and, at the discretion of SWASFAA, may be required to remove his or her exhibit.

- Gifts or give-aways must be of nominal value (i.e. less than \$10 retail value).
- Exhibitors may not offer conference participants the opportunity to sign up for or enroll in any contests or to receive gifts or give-aways at a later time in excess of the stated nominal value.
- Exhibitors may not organize, sponsor, or conduct any group social activities, including but not limited to receptions or dinners, during a period beginning 24 hours before the opening of any pre-conference activities and extending 24 hours following the close of the Annual Conference.
- Exhibitors may sell their products and services; however, such sales may include only products and services that are normally marketed by the exhibitor.
- Demonstration rooms may not be used for meal or reception purposes. Non-alcoholic beverages and light snacks may be served. Hospitality Rooms are not allowed.
- Exhibitors may organize, sponsor, or conduct non-social events, such as focus, advisory or user groups. Only non-alcoholic beverages and light snacks may be served.
- Exhibitors may submit a proposal for a breakout session during the conference. The conference committee will have final approval over whether the session is offered.

4. Non-Exhibitors as Association Events

Organizations will continue to have the opportunity to contribute to the support of the general activities of the Association, the Annual Conference or any other SWASFAA activity, and that support will be properly recognized and substantiated in accordance with Internal Revenue Service requirements. However, non-exhibitors must agree to abide by the following rules and procedures in conjunction with the Annual Conference:

- Non-exhibitors may not organize, sponsor, or conduct any social activities, including but not limited to receptions or dinners, during a period beginning 24 hours before the opening of the Annual Conference and extending 24 hours following the close of the Annual Conference.
- Non-exhibitors may organize, sponsor or conduct non-social events, such as focus, advisory or user groups. Only non-alcoholic beverages and light snacks may be served.
- Non-exhibitors may not present sessions at the conference.

Any questions respecting the implementation of these policies and procedures should be directed to the President of the association.

2. Procedures

- a. The Corporate Relations Committee Chair will be responsible for coordinating and managing exhibitor and non-exhibitor functions during the SWASFAA Annual Conference and other association events.
- b. Exhibitor benefits are:
 - One exhibit space at the annual SWASFAA conference
 - A link to the exhibitor's website from the SWASFAA website
 - Recognition at Boot Camp as a SWASFAA exhibitor
 - Donate promotional item (not brochure) for placement in Boot Camp attendee bags
 - Receive a list of SWASFAA attendees prior to the conference
 - Logo displayed in a prominent position within the SWASFAA program highlighting the status as an exhibitor
 - Inclusion in a list of all organizations that participate as exhibitors in the conference program
 - Receive nametag ribbons denoting status as an exhibitor
 - Public acknowledgement of the organization's participation as an exhibitor during the conference
 - Ability to sponsor a la carte items at the conference
 - Opportunity to submit a proposal for a breakout session
- c. Membership benefits include:
 - Access to conference sessions and events, assuming conference fees are paid
 - Ability to post training opportunities on training calendar on www.swasfaa.org
 - Access to membership directory
 - SWASFAA listserv access
- d. The individual corporate registration fee for the annual conference shall be determined each year by the SWASFAA Board of Directors. All individuals representing a corporate entity or any entity other than a post-secondary institution are required to register and pay the corporate registration fee for the annual conference

N. Policy on Privacy of Information and Terms of Refunds

SWASFAA is a non-profit organization dedicated to the educational and professional needs of financial aid administrators within the area encompassed by Arkansas, Louisiana, New Mexico, Oklahoma, and Texas. SWASFAA respects the privacy of its membership and adheres to the policies outlined below:

1. General

All content on this web site is for the personal use of SWASFAA members and the public. Any commercial use or publication is strictly prohibited. SWASFAA does not assume responsibility for or endorse the content of any other web site page reached via a link displayed here.

Your IP address is used only to help diagnose problems with our server, and to administer our Web site. Any personal information collected is retained by SWASFAA for use in membership related activities - directories, registration lists, mailings. No information is shared with or sold to a third party.

2. Personal Visitor Information

SWASFAA collects the personal information that visitors may volunteer while using the electronic services on the SWASFAA Web site, such as completing a meeting registration form, ordering publications, completing an electronic survey, or sending e-mail to the association. SWASFAA does not collect information about visitors from other sources, such as public records or entities, or private organizations.

Information that we collect from our on-line services on the SWASFAA Web site may include:

- Name
- Title
- Institution
- Address
- Phone and fax numbers
- E-mail address
- Credit card number, expiration date, and the cardholder's name
- Registration category, such as the type of membership held by the individual's employer

Information submitted to SWASFAA by an individual acting solely in a business capacity is excluded from the scope of this privacy notice.

3. Membership Database

The membership database contains information submitted to SWASFAA by a member organization on its membership form or annual membership update. This information contains directory-type data about individuals employed by a member organization (e.g., name, address, phone, e-mail). The database also includes information about an individual's participation in certain SWASFAA activities, such as service on a committee or attendance at a SWASFAA conference or workshop. Information contained in the membership database may on occasion be rented to a SWASFAA member organization in order to send a mailing.

4. Credit Cards

SWASFAA allows members to pay for their membership dues, training fees, and conference registration fees through our on-line gateway to GoMerchant.com. Our members' credit card information is not retained on the SWASFAA web site or SWASFAA servers. All transactions take place at GoMerchant.com or other source which has been approved by the Board. We will provide individually identifiable information about our members only if we are compelled to do so by order of a duty-empowered governmental authority or it is necessary to process transactions and provide our services.

5. Payments & Refunds

SWASFAA accepts payment by check, Visa, MasterCard and American Express. Refunds may be considered by written request to the SWASFAA Treasurer within two weeks of the event. Refunds will

be made according to the original method of payment (e.g. by check for payments made by check; by credit to account for credit cards payments). *For payment inquiries contact:*

**Cindy Perez, Treasurer
Director of Financial Aid
University of Louisiana – Lafayette
P.O. Box 40031
Lafayette, LA 70504-0031**

A. Elections

SWASFAA utilizes electronic balloting for Association elections. Privacy standards are in place to ensure the confidentiality of voters' choices.

B. Surveys

From time to time, SWASFAA surveys the membership for feedback regarding training needs, conference preferences, and other Association activities and projects. The identities of individual respondents are protected in order to guarantee confidentiality.

C. Expectations of Members

The SWASFAA website contains many public areas; however, there are sections dedicated exclusively to members. SWASFAA members are expected to respect the privacy of limited access areas of the website by not sharing their user id or password with others.

D. Links to Other Internet Sites

SWASFAA is not responsible for the privacy guidelines of internet sites which may be linked through the SWASFAA webpage. Refer to the individual site's policy statement on privacy standards.

O. Election Campaign Guidelines

The following guidelines are designed to maintain consistency and avoid the potential for negative reaction to campaign practices:

1. Candidates must be members of SWASFAA.
2. Candidates should submit a résumé and a digital photo to be printed with the election material on the SWASFAA web page.
3. Individual conversation, endorsements, or encouragement for one candidate or the other among SWASFAA membership should be considered as wholesome and within good practice.
4. Group promotional functions during SWASFAA (receptions, parties) sponsored by members or by state associations will not be allowed.
5. Candidates should be prepared to discuss their views, if asked, by other members of SWASFAA.
6. Candidates should be willing to contribute their best efforts to SWASFAA if elected.

P. Leadership Training

To promote the advancement of the Association and its members, SWASFAA will pay the cost for the President Elect to attend the NASFAA Leadership Conference each year.

Q. Logan Ware Professional Development Scholarship Procedures

1. Purpose: To help defray the cost of professional development for individuals who would otherwise not be able to attend the SWASFAA Annual Conference or other SWASFAA activities/training due to institutional budgetary constraints.
2. Criteria: The Awards Committee will review applications considering budgetary constraints, individual desire for professional growth, job responsibilities and attendance at previous SWASFAA conferences/training. All applicants must be from SWASFAA voting member institutions. Preference will be given to one recipient from each state. In case of unusual circumstances additional recipients could be considered upon recommendation from the committee to the Board. The number and amount of scholarships to award will be determined during the budget process upon recommendations to the Board by the Awards and Finance Committees.
3. Application Process: The applicant must complete the SWASFAA Professional Development Scholarship Application
4. Scholarship Application Deadline: Three months prior to conference and/or training. This allows one month for the committee to determine the scholarship recipients and notify each recipient. The selected recipients would need to accept the scholarship or it will be awarded to another applicant. All scholarship awards must be confirmed one month prior to conference.
5. Amount of Scholarship: The amount of the scholarship may include the cost of Conference registration or Boot Camp registration. Each recipient will be provided a copy of these guidelines upon notification that their application has been selected/approved. At that time, the recipient will be responsible for coordinating registration fee and lodging expense with the SWASFAA Treasurer.
6. Award Notification: The SWASFAA Awards Committee will notify the scholarship recipients of their selection, the amount of the award and instructions. All applicants will be notified of the selection results no later than one month prior to the annual conference or two weeks prior to the training activity.

R. Social Media Policy

All social media should be relevant to the field of financial aid in some manner. These could include, but are not limited to: SWASFAA event information, event information for the states in the region, articles, training information, Department of Education communications, professional development opportunities, or other information that may directly impact financial aid administrators, students, parents, counselors, or those who may be impacted by financial aid in some way.

Posts will be limited to sharing information from other professional aid associations and/or SWASFAA associate members in good standing. Events or information pertaining to vendors or sponsors that could be construed as a marketing or advertising opportunity are not to be posted.

While the Electronic Initiatives Committee Chair will manage the social media presence, the President, Conference Chair, Archives Committee, and others deemed necessary will be allowed access to create posts as well.

Any social media presence is intended to supplement the SWASFAA website and listserv but is not intended to replace either of those functions.

Student specific information is never to be posted in a social media forum. Work-related, personal, or institutional grievances are not to be discussed.

SWASFAA welcomes constructive and civil debate and exchanges, however content that is disrespectful, critical, hostile, profane, inflammatory, threatening, rude, or otherwise deemed inappropriate, SWASFAA reserves the right to remove such commentary and/or language.

Photos taken at financial aid related events may be posted. However, if a request to remove a photograph is made from an individual in said photograph, that request will be honored as quickly as possible.

SWASFAA will not be held legally responsible for users' commentary.

S. APPROPRIATE BEHAVIOR AND CONDUCT

SWASFAA is committed to providing a safe, productive and harassment-free environment at its conferences, trainings, board and committee meetings, and other SWASFAA-sponsored events. SWASFAA prohibits harassment or discrimination based on race, religion, gender, sexual orientation, gender identity, gender expression, disability, ethnicity, national origin, or other protected status. It also prohibits sexual harassment or intimidation, including unwelcome sexual attention, stalking (physical or virtual), or unsolicited physical contact; and threatening behavior.

These conduct rules apply to all attendees and participants at any SWASFAA-sponsored event, including online events. Any violations should be reported immediately to a member of the SWASFAA board; we also expect participants to alert venue staff or security of any dangerous situations, or of anyone in distress.

SWASFAA reserves the right to remove any individual from attendance or other participation in any SWASFAA-sponsored event without prior warning or refund, and to take additional action as determined necessary, up to and including expulsion from participation in SWASFAA.

SOUTHWEST ASSOCIATION OF STUDENT FINANCIAL AID ADMINISTRATORS

Travel Expense Claim Form

Please charge these expenses to the following Committee or Account:

Claimant's Name (Print) _____
 Mailing Address _____
 City/State/Zip _____

- | | |
|------------------------|------------------------|
| Board of Directors | State meeting |
| Annual Conference | NASFAA Board |
| Boot Camp | membership |
| Corporate Sponsorship | Awards |
| Decentralized Training | Local Arrangements |
| Continuing Education | Legislative issues |
| Nominations/Elections | Electronic initiatives |
| Site Selection | Other: |
| Long Range Planning | |

Purpose of Travel: _____
 Location: _____
 Dates of Travel: _____

Date	Meals			Lodging	Gratuity	Airport Parking	Cabs Limo	Misc. Expense	Mileage		Airfare	Daily Totals
	Breakfast	Lunch	Dinner						Miles @	\$ 0.5650		
Totals	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00		0.00	0.00	0.00

By my signature I certify that the expenses claimed are true and that I will not be reimbursed by any other agency.

Claimant's Signature

 SIGNATURE

 DATE

SWASFAA Committee Chair Approval

 SIGNATURE

 DATE

SWASFAA President Approval

 SIGNATURE

 DATE

- a. See Travel Guidelines for other receipt requirements.
- b. Attach receipts for airline, hotel, meals, miscellaneous and telephone expenses.
- c. For meals, attach GSA per diem rates [Per Diem Rates](#)
- d. Committee members mail to Committee Chair for approval
- e. Committee chair will mail to President for approval
- f. President will mail to Treasurer for payment

SWASFAA Treasurer
 Cindy Perez
 PO Box 40031
 Lafayette, LA 70504-0031
 FAX: 337-482-6502
 swasfaatreasurer@swasfaa.org

SWASFAA President

The Southwest Association of Student Financial Aid Administrators *Speaker's Contract*

The Southwest Association of Student Financial Aid Administrators a non-profit organization comprised of student financial aid administrators from colleges, universities, vocational/technical colleges, and other institutions concerned with the support and administration of student financial aid programs enters into this agreement

with _____
Name(s) of Presenter(s)

_____ Name of Organization
based on your agreement to present at our _____ Conference on _____ we agree to provide the following:

Date

- One night's lodging, if necessary, to accommodate your presentation
- Meals necessary in conjunction with your travel and stay for your presentation
- Your stated fee of \$_____ and your deposit (if required) \$_____ (to be applied to your total charge). Should you fail to meet your commitment the full deposit and/or any payments made to you in conjunction with your presence at this conference will be required to be refunded back to the association within ten days of date you were scheduled to appear.

Transportation

- Airfare (if required and/or as agreed upon between you and SWASFAA's representative).
- If you are using your own vehicle mileage will be reimbursed at the current IRS rate. Should you need a rental car the association with proper prior approval will pay for the rental. With a rental vehicle the association requires that you purchase the rental car insurance this will also be paid by the association.

Please note: We are not responsible for any lost stolen or damage to personal equipment used in conjunction with your presentation.

Signature of Presenter

Date

Signature of SWASFAA President

Date

Appendix C – Corporate Debit/Credit Card Letter of Understanding

SWASFAA
Corporate Debit/Credit Card
Letter of Understanding

I have read and understand the SWASFAA Corporate Debit/Credit Card Policies outlined in the SWASFAA Policy and Procedures Manual (Section C.2) and the guidelines and procedures of the Office of the Treasurer and the expense reimbursement policies of the Association.

I understand that my Corporate Debit/Credit Card is issued at the discretion of the Association and should be considered a privilege. I further understand that this card may be used only for official SWASFAA business purposes and that it should be used only when other methods of payment are not possible or reasonable.

I acknowledge that all debit/credit card expenses are due and payable upon receipt of a billing statement from the card issuer. In this regard I understand that I am required to retain receipts for all purchases made through use of the debit/credit card. I further understand that it is my responsibility as the holder of the card to submit expense reports in accordance with corporate expense reporting guidelines before payment of the charges may be made. I understand that all reported debit/credit card expenses must be supported by a receipt, or, where a receipt is lost or not available, fully documented to authenticate the obligation for the Association to reimburse the card issuer for the charge.

I understand that this card may never be used for personal use.

I understand that interest charges that accrue due to my failure to report charges and provide necessary documentation to authorize payment of card charges in accordance to the card issuer's billing cycle are the responsibility of the card holder and that SWASFAA is not obligated to pay those interest charges.

I further understand that violation of applicable card use and expense filing procedures may result in revocation of the card by SWASFAA or the card issuer.

Name: _____

Signed: _____ Date: _____

Approved December 2005 and Updated January 2006

Logan Ware Professional Development Scholarship Application

Application deadline: Applications should be submitted to the SWASFAA Awards Committee Chair no later than two months prior to the annual conference or one month prior to any other training activity.

This scholarship was established to assist individuals in their quest for professional growth and development recognizing institutional budgetary constraints. The scholarship may cover up to 100% of unmet costs of registration fees and up to two nights lodging expenses for attending the SWASFAA Annual Conference or other SWASFAA activities/training.

Name: _____ Title: _____

Institution: _____ E-Mail: _____

Address: _____ Phone: _____

_____ FAX: _____

Is your institution's SWASFAA membership current for the year? _____ Yes _____ No

Please describe your current job responsibilities:

How long have you worked in Financial Aid? _____

Number of employees in your Financial Aid Office? _____

How many SWASFAA conferences have you attended? _____

Please attach a written statement explaining why you would like to attend the conference/training and why you should be given scholarship consideration.

I would like to be considered for a scholarship to attend the following:

_____ Annual Bootcamp _____ Mid-Level Workshop _____ Annual Conference

Please provide the contact information of the Director of Financial Aid at your institution: (Director's approval required)

Name: _____ Title: _____

Phone: _____ Fax: _____ Email: _____

Date: _____

*Signature of Applicant: _____

*In signing this application, you are allowing SWASFAA to publicize information related to a scholarship award.

Please fax this application and all supporting documentation prior to the deadline of _____ to:

_____, SWASFAA Awards Committee Chair, _____,

FAX#: _____.

Conflict of Interest Statement

The Conflict of Interest Statement will be administered annual at the January Board of Directors meeting. The Conflict of Interest Statement applies to all voting members of the SWASF AA Board of Directors.

Conflict of Interest Statement

In our capacity as the governing body of the Association, Board members must at all times avoid conflicts of interest with respect to our Association fiduciary responsibility. Therefore:

1. Board members shall disclose their involvement with other organizations, vendors, or any other associations that currently do business or may do business with SWASF AA. Examples of relationships would include membership on other higher education or financial-aid related advisory/governing boards, committees, work groups or task forces.
2. Information exclusive to SWASF AA shall not be used by Board members for personal gain or the gain of a family member or associate, or any other party or organization.
3. Board members shall immediately disclose to the Board any and all impending conflict(s) of interest. Members shall recuse themselves, or the Board shall ask them to recuse themselves, without comment, from both the deliberation and final decision making in cases where conflict is present.
4. There will be no self-dealing or any conduct of private business or personal services between any Board member and SWASF AA.

I hereby acknowledge receiving and reading a copy of this SWASF AA Conflict of Interest Policy and agree to properly disclose, as indicated, any potential conflicts as defined in this policy.

Signature

Printed Name

Date