



**APA New York Upstate Chapter
Executive Board Meeting
Friday, November 8, 2019
University at Albany
In-Person & Teleconference**

1. Roll Call

| Name | Board Title | Name | Board Title |
|--|----------------------------|--|-------------------------------------|
| <input checked="" type="checkbox"/> Mark Castiglione, AICP | President | <input checked="" type="checkbox"/> Mike Long, AICP | Officer Emeritus |
| <input checked="" type="checkbox"/> Sean Maguire, AICP, CECd | Vice President | <input checked="" type="checkbox"/> Dan Harp | Capital District, Sec. Co- Dir. |
| <input checked="" type="checkbox"/> Eve Holberg, AICP | Treasurer | <input type="checkbox"/> Jane Rice, JD, AICP | Central NY, Section Director |
| <input checked="" type="checkbox"/> John Czamanske, AICP | Secretary | <input type="checkbox"/> Joe Bovenzi, AICP | Genesee/Finger Lakes Sec. Dir. |
| <input type="checkbox"/> Rich Guarino, AICP | Professional Dev. Officer | <input type="checkbox"/> Tom Knipe | Southern Tier Section Director |
| <input type="checkbox"/> Darren Kempner, AICP | Director of Legis. Affairs | <input checked="" type="checkbox"/> Rocky Navarro | Western NY Section Director |
| <input checked="" type="checkbox"/> Ellen Parker, AICP | Membership Officer | <input checked="" type="checkbox"/> Patricia A. Tatich, AICP | Planning Official Dev. Officer |
| <input type="checkbox"/> Matt Ingalls, AICP, ASLA | Education Officer | <input type="checkbox"/> Nicolette Wagoner, AICP | Liaison, NYS Co. Plng. Dir. |
| <input checked="" type="checkbox"/> Amanda Bearcroft | Public Relations Officer | <input checked="" type="checkbox"/> George McKibbin, MCIP, RPP, AICP | Liaison, Ontario Prof. Plnrs. Inst. |
| <input checked="" type="checkbox"/> James Levy, AICP | Member At Large | <input checked="" type="checkbox"/> William Barnes | Student Rep., Univ. at Albany |

Note: George, John, Ellen, Eve and Patricia were on the phone; all others in person

2. Additions/Changes to the Agenda. None.

3. Approval of October 2, 2019 Meeting Minutes. John noted the two corrections shared by email before the meeting (spelling George's last name correctly and Rich's rephrasing of a sentence). The minutes were approved unanimously (*Maquire/Long*).

4. Financial Report

Mark thanked Eve (unable to make meeting) for timely providing financials. Mark reviewed the Q3 report (attached) and offered kudos to GFL for netting \$20k on the conference, of which \$10k will stay with the section and \$10 to the chapter. Mark then reviewed Eve's 2019 budget status report (attached), noting the chapter is tracking at 98% of budget for revenues prior to booking the conference revenue so in good shape. Expenses are now 84% to budget, right where we need to be. A motion to approve the financial reports was approved unanimously (*Levy, Long*).

5. FAICP Committee Appointment

Mark reviewed that the chapter approved two FAICP nominations for Mike Long and John Steinmetz, recounting the length, detail and time which went into his writing of chapter endorsement letters. He said he did the best he could, suggesting in the future that the chapter convene a small committee to review and advance the nominations, which is something done by other chapters. Mark related he had spoken with chapter FAICP member Rich Unger from Schenectady; he has agreed to chair the FAICP Committee. [*Ellen joined the call.*] Mark recounted the board discussion from October as to how to provide good representation for such a committee, with each section providing a representative. There is a lot of work involved; the committee will have to determine roles and responsibilities once convened. Mark asked Section Directors to identify a member willing to serve on the committee. It is a little early, but the year and half to the next cycle will allow the committee to get organized and develop a structure for identifying members deserving of FAICP recognition.

Mark noted that the chapter presently has no female FAICP members and there is no shortage of women planners deserving of recognition for their work so hopefully the committee can prioritize that. Sean asked if maybe this could be a sub-group of the current awards committee. Discussion. Mike thanked Mark for his work in writing the endorsement letters, noting that the FAICP applications are substantial and the endorsement letters are but one piece. In total it takes a number of months to put together an application. Mark emphasized that editorial review of the packet is important, which would be good for a committee. Jim commented it is good to start early given all the work involved and it made sense for it to be dovetailed with the awards committee. Discussion continued regarding timing vis a vis the annual awards process, the awards presentation, and of the Chapter Fellows distinction. Knowing of the chapter fellows process, the committee could be working simultaneously on cultivating interest and working toward AICP fellows nominations. Jim commented that maybe people should be steered toward expressing interest in the off-cycle year such that there is sufficient time to put together the AICP Fellows materials in the following year to be done by the deadline.

Wrapping up the discussion, Mark asked the Section Directors to identify their representatives for the FAICP Committee. He'll connect them with Rich Unger, relaying the board's discussion. The committee can then work on the issues. Jim suggested that those interested in going for FAICP should probably not be on the committee. It was agreed that the committee members should all be AICP.

[*Eve joined the call.*] Eve quickly mentioned that the small deficit in the President's budget line is offset by the travel grant received by the chapter.

[*Patricia joined the call.*]

6. Fiscal Policies and Procedures Detail Review

Mark related that the draft was review by the Finance Committee; he reviewed in making edits. The committee has not yet reconvened to review, but it's pretty close to being ready. It's a general policy and guideline. Mark highlighted some things from the draft, some of which may be new or have an impact on how the chapter operates:

- It starts with a summary, which can be removed once the document is finalized
- Page 4, travel and meal reimbursement; stays as it is with the exceptions as defined. Eligible cost would be based on US General Services standards, adjusted for conferences if necessary. John asked for language to not reimburse for alcohol.
- Page 7, internal controls, increases reviews by and between the President, Treasurer and the Finance Committee. Presently there is little to no reconciliation, but it needs to be done. Stating the separation of payments and approvals of payments. Some discussion about the timing of pre-approving purchases, especially small purchases, possibly with a not to exceed amount in certain mostly administrative budget lines for such things as office supplies and postage stamps.
- Finance Committee; Mark reviewed the draft language, noting the change in budget approval timing whereby it would be approved before the beginning of the year versus at the January meeting as happens at present.
- Approvals authorizations; all expenditures to be authorized by the President and Treasurer and tied to the approved work plan. Expenditures under \$500 for which there is no budget item would require Finance Committee approval. Over \$500 it goes to the board for approval. Separate document sections for chapter and section procedures.
- Section expenses. Mark read from the draft, summarizing that it in part role-maps the chapter into overseeing section fiscal actions in a limited way. This formalizes the oversight role because the chapter is ultimately responsible for all chapter finances. Discussion about timing of pre-approving and building in some flexibility so that chapter activities and carrying out

events are not unduly hindered. In part it comes down to how work plans and budgets are written, likely including an explicit line item for contingencies. There was general agreement to incorporate fiscal agility using thresholds and other reasonable measures. A \$500 threshold for non-budgeted items was suggested / agreed upon and there may be further discussion with the Finance Committee before finalizing the Fiscal Policy.

- Documentation, Deposits, Bank Statements, Reimbursements, Retention, Data Security, Reviews, Audit, Insurance. Mark read from the draft, followed by some discussion and questions about accounts, timing of submissions, financial software, different per diem rate standards, insurances.
- Reserve policy; Mark reviewed the draft language. Some discussion about reasonable levels. The chapter has limited expense liabilities, primarily the administrative contract, plus operation contracts for conferences and events. It was generally agree that a three month reserve was reasonable.
- Mark thanked everyone for the input and discussion. He will edit and reconvene with the Finance Committee.

7. 2020 Meeting Schedule

The draft meeting schedule was reviewed; discussion focusing on midsummer CFA grant and vacation seasons. In the end the July meeting was moved to the second Friday in June.

8. Chapter Conference

A. 2019 Conference.

Mark referred to the Chapter Conference debrief provided by Joe Bovenzi, who couldn't make this meeting. The key takeaway is that the GFL Section cleared twenty thousand on the conference, which is a great accomplishment. Joe's written report follows:

1. The final profit from the conference was \$20,743.00. Therefore, the Chapter and the Section will each receive \$10,371.50.
2. All outstanding bills have been paid.
3. Registration fees have been collected from all registrants.
4. He asked Eve to please let him know how to pay the Chapter's share. Cut a check and mail?
5. All available presentations have been posted to the conference website at: <https://www.nyupstateplanning.org/2019-annual-conference>. The agenda and program booklet are also available on this site.
6. Post-conference survey distributed. The feedback was overwhelmingly positive, with only a few negative comments, mostly on issues that we anticipated (parking problems on Wednesday, etc.).
7. Joe will be reaching out to Bob Murphy and Dan Harp in Albany with some information to help them plan the 2020 conference. Joe's generally available to provide any advice or support that he's able.
8. Joe's expressed his appreciation to the following:
 - a) The members of the conference planning committee, for coming together to make this event happen.
 - b) Our sponsors, who were very generous in their support not only for the conference but in supporting ongoing Chapter/Section activities.
 - c) Our speakers, for providing informative and high-quality presentations and sessions.
 - d) All the attendees, for making the time to attend the conference.
9. General, non-conference GFL Section updates:
 - a) Planning to hold an end-of-the-year social in December.

- b) The 2020 Annual Meeting will be held in late January.
- c) 2020 Section Work Plan being drafted. Anticipated events include two socials, the annual meeting, and three or four group meetings/tours of local development projects/sites.
- d) Joe has a few ideas on joint GFL-Central NY section events and will follow-up with Jane Rice on those.
- e) He's looking for opportunities for us to coordinate with other, allied, organizations on joint training seminars.

B. 2020 Conference

Dan reported:

- 1. They're in the process of signing a contract with the capital conference center
- 2. Will contract with the Hilton close to the conference center; \$115 a night versus the other hotel they were considering.
- 3. Theme identified (Planning from the Crossroads) and looking at session structure; call for sessions to go out in January.
- 4. Will get started on sponsorship opportunities. Mark suggested a meeting with Jen Topa, and either Rich Perrin or Joe Bovenzi; he also thanked Dan for this work and also Bob Murphy at Barton & Laguidice. Discussion about sponsorship strategies.

9. Section Director Updates

- A. Capital District. Dan related that they have some events planned for 2020.
- B. Western. Rocky reported as new Section Director he's in the process of Key Bank account transition; other new officers need to do the same. The LinkedIn issues have been resolved. The Newsletter has been relaunched. Some upcoming events, with a potential collaborative December event with ASCE. Student / Professional mixer in March. May awards event. The 2021 Conference Chair will be Sarah Gatti and they'll be getting going on that.

10. Committee Updates / Work Plan Review

Mark reported briefly:

- A. Legislative Committee. Sean and Rich attended the awards program in Washington DC.
- B. Bylaws Committee. A meeting will be scheduled soon.
- C. Finance Committee. The board essentially just participated in a Finance Committee session.
- D. Communications / Outreach. Mark asked Rocky to connect with Communications Director Amanda on the Western NY social media efforts. Amanda reported that the newsletter should be out in a week.

11. 2020 Chapter Work Planning

Mark asked people to look at the 2019 work plan today and get back to him with comments for changes for the 2020 work plan. Also a report is needed to National; send him some bullets.

12. Membership Officer Update

Ellen reported she's in the process of sorting and sending the most recent membership list.

13. Planning Official Development Officer Update

Pat reported that NYPF is conducting an Executive Director search.

14. Ontario Professional Planners Institute Liaison Update

Mark welcomed George back to the Board. George said he would email some updates. Noting the discussion in the minutes of the last meeting of a joint effort looking at Ontario Lake water levels, George said he'd be happy to look into it and commented on his previous experience working with the Western section circa 2014-15.

15. University at Albany Student Reception, Lunch and Presentations

Mark introduced UA Student Representative William Barnes and thanked board members for attending this important annual visit to one of the state's three accredited planning schools. The meeting adjourned.

*Respectfully submitted,
John Czamanske*



APA New York Upstate Chapter

Board Meeting Agenda

Friday, November 8, 2019

10:30am –12 pm

AS 123, Arts and Sciences Building

University at Albany, 1400 Washington Ave. Albany, NY 12222

Teleconference Call #: 866-499-7054, Access Code: 6715833250

Board action is anticipated for items with an asterisk (*)

2019 Chapter Workplan <https://nyupstateplanning.squarespace.com/s/Chapter-Sections-Workplans-Budgets-for-2019.pdf>

Agenda Items:

- | | |
|--|--------------------------|
| 1. Roll Call | John |
| 2. Additions/Changes to the Agenda | |
| 3. Approval of 10/2/19 Meeting Minutes* | John |
| 4. Financial Report* | Eve/Mark |
| 5. FAICP Committee Appointment | |
| 6. Fiscal Policies and Procedures Detail Review | Mark |
| 7. 2020 Meeting Schedule | John |
| 8. Chapter Conference | |
| • 2019 Conference debrief | Joe Bovenzi |
| • 2020 Status | Dan Harp |
| 9. Five-minute Section Directors Update(s) | Section Directors |
| 10. Committee Updates/ Work Plan Review | |
| • Legislative | Darren |
| • Bylaws | Mark |
| • Financial | Mark |
| 11. 2020 Work Planning | Mark |
| 12. Communications, Outreach, Partnerships | Amanda/Mark |
| • Newsletter | |
| 13. PDO Update | |
| • CM Updates | Rich |
| 14. Education Officer Update | Matt |
| 15. Membership Officer Update | Ellen |
| 16. Planning Official Development Officer | Pat |
| 17. County Planning Officer | Nicolette |
| 18. Liaison to OPPI | Vicky |

19. Other Business/ News

20. Motion to Adjourn



**APA New York Upstate Chapter
Executive Board Meeting
Wednesday, October 2, 2019
Annual Chapter Conference
Hyatt Regency Rochester**

1. Roll Call

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|--|----------------------------|---|-------------------------------------|
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| <input checked="" type="checkbox"/> Rich Guarino, AICP | Professional Dev. Officer | <input type="checkbox"/> Tom Knipe | Southern Tier Section Director |
| <input checked="" type="checkbox"/> Darren Kempner, AICP | Director of Legis. Affairs | <input checked="" type="checkbox"/> Sarah Gatti (for Rocky Navarro) | Western NY Section Director |
| <input checked="" type="checkbox"/> Ellen Parker, AICP | Membership Officer | <input checked="" type="checkbox"/> Pat Tatich, AICP | Planning Official Dev. Officer |
| <input checked="" type="checkbox"/> Matt Ingalls, AICP | Education Officer | <input checked="" type="checkbox"/> Nicolette Wagoner, AICP | Liaison, NYS Co. Plng. Dir. |
| <input checked="" type="checkbox"/> Amanda Bearcroft | Public Relations Officer | <input checked="" type="checkbox"/> Vicky Simon, MCIP, RPP | Liaison, Ontario Prof. Plnrs. Inst. |
| <input checked="" type="checkbox"/> James Levy, AICP | Member At Large | <input checked="" type="checkbox"/> William Barnes | Student Rep., Univ. at Albany |
| <i>[Sean, Dan, Nicolette, Vicky and William were on the phone]</i> | | | |

2. **Additions/Changes to the Agenda.** 2020 Conference item moved up.
3. **Approval of 5/10/19 Meeting Minutes.** A motion to approve the minutes (Guarino, Bovenzi) was approved unanimously.
4. **2019 conference.** Thank Joe, he welcomed. Limited in space in hotel, need to be out by noon. M lots of work, JB thanked, lots of help from local committee
5. **2020 Conference.** Mark thanked Joe for all the work on this year's 2019 conference and that all were looking forward to the sessions and events. Joe welcomed everyone, mentioned what materials are provided at the registration desk, and that we needed to be out of the room by noon. Mark again expressed the board's appreciation for all the work to organize the conference; Joe recognized the dozen members of the local conference committee.

Dan related that all is set for September 23 – 25 at the new Albany convention center downtown. They are currently working on a room block at a nearby hotel. The sessions committee met last week and they're looking to present ideas and themes to the Section board later this month. Mark thanked Dan for the report and for stepping up to lead the Capital District Section following Kerry O'Connor's move to Seattle. Mark asked if the Capital Center contract was in place; Dan said it was in process. Mark mentioned his recent email about the high levels of sponsorship and suggested that Dan contact Jen Topa on that, and also to talk with Rich Perrin regarding conference expenses. Joe offered to help with lessons learned, form letters, and generally. Dan mentioned that conference co-chair Bob Murphy was in Rochester for the conference and would be reaching out to connect over the next few days. Mark asked Joe when the call for sessions went out. Joe said they did their first one in January and had a good initial response. There was some backfilling needed, but Joe suggested January or February would be a good target. Joe continued that because this is Chapter conference, he felt that it would be good to have more ideas generated by the

Chapter Board and upstate-wide level. Mark again thanked Dan for stepping up to lead the 2020 conference planning.

6. **Financial Report.** Eve related that there wasn't much of an update since the last meeting. The big thing is a travel grant we received for the President's travel expenses. We are in a more stable financial condition this year; we may end up with a balanced budget. Eve reported that a donation button has been added to the website for the Krasner scholarship. She suggested that the whole amount donated go over to Krasner, notwithstanding the small fee charged for each website transaction. There are still some outstanding expense claims for the President's travel to San Francisco; \$641 is left in that budget line but she was not expecting receiving the travel grant so it may be possible to make Mark whole for his travel.

Mark reviewed the financial statements as Sept 30 in the meeting packet, mentioning the cash basis accounting, and thanked Eve for her work. So far we're in good shape with a \$1500 dollar surplus. This year sort of anomalous in that there are two conference revenue items in the budget, with the 2018 conference revenue hitting the books in the second quarter of this year. It remains to be seen whether the 2019 conference revenue to the chapter will actually make it in this budget year.

Mark pointed to the second attachment, saying that Eve has done a look back at the story of deficits over the years, looking at budgeted versus actual since 2015. Deficits have ranged from about two thousand to thirteen thousand. We are striving toward balancing as we have discussed, and have been doing things to help, one of those being the successful push for sponsorships, which brings in about five thousand annually, helping to cover the costs of the Chapter Administrator. Other costs include the AICP Certification Maintenance (CM) provider fee of almost three thousand for the privilege of providing CM credits to members. Eve said the cost more like \$1250 but that we paid for two years this year, to rectify the situation from last year when APA national said we had paid but through Eve's insistence they finally realized that we had not.

Looking ahead to 2020, Mark mentioned that Eve put together a bank account overview, including the restricted scholarship and Section accounts so everyone can see where things stand. Mark thanked Eve, then mentioned we are slowly working through the Finance Committee at getting our financial house in order, and to track chapter and section finances more easily and effectively. Mark thanked Eve, Mike, Sean and Rich Perrin for volunteering to serve on that committee. Mark mentioned that following the Board's previous vote to purchase Quick books, that is getting set up. That process is ongoing and logins will be going to the Sections. It will make generating reports a lot easier, such as those to APA national and the annual tax reporting. The efficiencies will pay dividends.

Rich asked about the \$95 FAICP nomination fee and would the board consider reimbursing candidates for that. Mark said that could be discussed. Jim asked about a \$2300 expense for Sean. Eve said that Sean had represented the Chapter at the annual Chapter Presidents Council conference because Mark was unable to go. A motion to accept the financial report through 9/30/2019 (Guarino, Levy) as approved unanimously.

7. **New APA Logo.** Mark mentioned the new logo, which has not itself changed, but the tag line has been changed to focus on equity as well as overall look. The old tag line was "Making Great Communities Happen"; the new one is "Making Great Communities For All". Rich asked about the reverse color version and when do the different versions get used. Mark related that there are new branding guidelines; 24 pages. The positive logo, meaning the logo version which has its own background, is used when there is a white background

and when there can be color contrast to the logo's background. The reverse color logo is used when there is a darker, solid color background.

8. FAICP Nomination Endorsement. Two Candidates: Michael Long, AICP and John Steinmetz, AICP.

Mark began by mentioning that the Chapter presently has four FAICP members (Fellows of the American Institute of Certified Planners). Ellen clarified that one lives outside the Chapter but is a member. The board wants to assist other members to also achieve this distinction. (Mike excused himself from the meeting.) Mark reviewed the nomination process, and said Mike Long and John Steinmetz have asked the board for a nomination letter.

Mark described having met Mike when he started participating with the board and that when he received the nomination package he was extremely impressed because Mike is a very modest person. Mike's work as a paid professional and a volunteer is impressive and is well-deserving of FAICP. Awards Committee Chair Sean Maguire related that he's known Mike for many years and is impressed by what he's accomplished. Sean reviewed Mike's credentials and interest in the AICP designation; Mike exemplifies the qualities highlighted by the AICP College of Fellows. Eve mentioned that Mike has been active in the Upstate Chapter for many years, serving as both President, Section Director, and probably every other position. He helped guide the Chapter during a period of much growth and some financial troubles. Mike could have rested on his laurels after retiring but came back to continue serving on the board. Mark thanked Jim Levy for providing focus on FAICP nominations during his tenure as President. Rich commented that it is good to be able to recognize people for their service before they retire. Mark noted that doing so raises the profile of the planning profession, which Sean echoed.

Mark then described John Steinmetz, the next nominee. John was the first recipient of the Upstate Fellows Award. He is well-deserving and has many professional accomplishments. Mark mentioned that Molly Dodioso is working to advance John's nomination in part because he has been a mentor to her; something that he has done for others as well. Mark pointed to the nomination letter, that people spoke of his professionalism, getting the job done and his leadership. Joe mentioned that he has worked with John through his firm and now with Barton & Laguidice, both having done a lot of work with GTC. Joe is impressed with how John interacts with local officials and community members. He works very well with small, rural communities in Upstate and has carved out a niche; he is well-deserving of this distinction. Eve noted John's curiosity and his interest with what other communities are doing, even those not taking place in his hometown or that he's contractually obligated to attend.

Mark offered a motion, seconded by Rich, to advance both nominations. Darren asked about the process. Mark responded that he would write letters for each candidate with his reflections and board comments, which will be important for the nomination. The nominations are due next week. Eve mentioned that she would like to advance women in planning and believes a woman should be actively recruited for FAICP nomination next year because there are so many outstanding women in the chapter. Sean commented that the Women in Planning Division is also working on that nationwide. Pat related that she had considered applying for FAICP this year, but family issues have taken her attention away. She is working with a coach from the Women in Planning Division who has been helpful in looking at Pat's resume; someone who has been involved with the FAICP process and has very helpful insights. Pat is going to keep working with her and so will be looking toward

the 2022 nomination round. She suggested that women interested in FAICP should reach out to the Women in Planning Division as they have mentors willing to help. Pat also suggested that maybe a group could be put together a group to work on the future nominations. She also suggested that Ellen promote AICP to women who are earlier in their careers. Mark commented that the Upstate Chapter has fewer FAICP members in comparison to other chapters; the board should plan to send an email next year to those who qualify to get them interested. Rich mentioned Rocky's prior nomination, that lots of work went into it, but he didn't get selected; that caused people to step back.

Ellen asked about getting to the earlier comment about nomination fees. Mark related that historically the Chapter has not covered the FAICP nomination fee; it could but it needs some consideration. Sean and Jim suggested covering the fee if the Chapter itself submitted a nomination letter. After some discussion, the Mark amended his motion so as to both approve the current FAICP nominations of Mike Long and John Steinmetz, and to have the Chapter cover the nomination fees in the future for those nominations supported by the Chapter. The amended motion was approved unanimously.

Jim commented that Sean's starting the Upstate Fellows Award was a great thing to begin giving focus to this sort of recognition, and asked Sean if there was a limit to the number of Upstate Fellows done each year. Sean said there wasn't and offered his thoughts with the proposed annual awards timeline change that would align it with the FAICP process, that he would like to see the Fellows nominations from the Awards Committee be endorsed by the Board, which would be a tacit endorsement for FAICP nomination. Mark thanked Sean. Sean mentioned last year's question about whether Rocky would want his FAICP nomination resubmitted; he wasn't, but maybe he'd be interested in advancing it in the next cycle. Sean and Mark both commented that Rocky had been a mentor to them and wasn't one to seek awards for himself. Rich asked how many should be budgeted. Mark thought maybe two a year; not limiting but for the budget. Ellen commented about all the work needed for the nomination. Mark related that the acceptance rate is higher for second nominations.

9. **Draft Fiscal Policies and Procedures.** Mark related this is a work in progress and that he met recently with Mike, Eve, Sean and Rich Perrin. [Mike Long returned.] Mark said he had adapted something from another two other chapters. Part of getting our financial house in order is having a policy document. The Finance Committee provided helpful edits in June; Mark hasn't yet made those changes to the document. It establishes the relationships between Chapter and Section finances, processes for making payments and other transactions. As a non-profit corporation we are subject to various New York rules for these matters. Mark pledged to schedule another Finance Committee meeting to continue this work. He noted that thankfully Rich Perrin has volunteered to set up Quick Books after finishing his conference treasurer duties. Darren asked if the document included a conflict of interest attestation for officers. Mark said he believed there was a conflict of interest section in the draft; there was discussion as to which policy document that should be in, such as the bylaw, policies and procedures or the fiscal policies. Mark made a note to follow up.
10. **2019 Chapter Awards.** Mark thanked Sean for his work on the awards program and that it was unfortunate he could not be at the conference; Joe Bovenzi has agreed to present the awards at the luncheon tomorrow. Sean related that there was a good crop of candidates this year, with a total of twenty-six nominations. That number may be misleading at first because they were initially also looking at the Western Section award winners. There are eighteen Chapter awards this year, including four student awards, three distinguished leadership awards, eight best practice awards, two implementation awards and one public outreach

award. Moving forward Sean foresees a much earlier February 1 call for award nominations. He would like better timing to get to October conference; it was too tight this year. There would be a May 31 nomination deadline, an August 1 notification of awards, and planning completed for the conference award presentation by September, well in advance of the actual conference. That gives almost two months between notifying winners and the conference, so that luncheon presentation coordination will be much better.

Sean related a few challenges on which he wanted board input. We've had limited success getting volunteers to work on the Awards Committee; Section participation has waned. Sean described how he thought for the Capital District that maybe the immediate past Section Director could be the awards rep but that is problematic. Recently, it has been assumed that the Section Directors would be the Awards Committee rep, if they didn't name somebody else, but that hasn't worked everywhere. It needs to be revisited. It could be younger members who want to be involved but don't want to or aren't ready to jump into a leadership position yet. This is complicated by the Western Section having its own rewards program; they're automatically sent to the Chapter for consideration as well but there can be a lot. There is a need to address past practice and provide equity to other sections that don't have their own awards programs. There was discussion about how this has worked in the past, and about differing opinions about the actual application or nomination forms, both at the Chapter and Section level, and whether it was online or paper. Following that discussion, Mark said there's a need to eliminate any confusion which may exist about how this works and suggested a committee. He also reminded everyone that at a recent board meeting we had discussed the question of recognizing work by Chapter members for places geographically outside the chapter, which has gone back and forth over the years; this also needs to be settled. It's a philosophical issue. Mark said he personally supports recognizing the work of chapter members regardless of where done, but others differ in regard to bestowing Chapter Awards. There was further discussion about the format of nominations; similarities or differences at the Section, Chapter and National levels; and whether nominations should be forwarded automatically from one level to the next. Mark noted there is already an Awards Committee but as Sean noted it needed to be reconstituted, and it should be with balanced representation across upstate and between public / private sector planners. That committee would then bring back recommendations on these matters to the board. Sean said he would do some outreach and then brainstorm with the committee. It was agreed that this should be reported out at the January 2020 board meeting, so that decisions can be made in order to issue the call for award nominations by February 1. Mark thanked Sean for his work.

11. Section Director Updates.

Genesee Finger Lakes. Joe said that obviously their focus has been on conference planning. After it wraps they'll look at their work plan for next year, with maybe a post-conference social event. The Section annual meeting is scheduled for January.

Central. Jane. Still interested in being a section, taking baby steps this year. They've accomplished over half of the work plan. A Section Board meeting was held yesterday; the board members agreed to serve another year. They are going to hold a networking event before the end of the year, and they will work from the 2019 work plan to create a 2020 plan. Jane related that they had a lot of discussion about Planners Day, wondering if this would be a good time to talk about it. They're thinking of doing something that wouldn't be a conference; maybe a speakers series. They're also looking to be more active with the web page. Mark thanked Jane for her leadership and said the Chapter is open to whatever the

Section would like to do to get their members out, and really that was what the Chapter starting Planners Day in Syracuse tried to do. Jane explained her board had questions about Planners Day because they didn't know the history. Ellen mentioned that in the first year following on the heels of the regional conference in Saratoga it was a way to have awards since there was no chapter conference that year. It was a way to provide CM credits for members who couldn't attend the regional APA conference and to have an awards program. The Syracuse/Central Section was chosen to make travel easier, but also to help give focus to Central. Pat and Mark emphasized that the board was concerned about providing benefit to Section members in a time when the Section Board wasn't active. It was a budget-friendly event for members; they could justify attending even if they had attended the regional conference. People have liked the one day outing and the venue, though it hasn't made money. Jane wondered whether it continues as a Section thing. More discussion. Jim related that Brian took it on for the first few years and made it happen. Joe commented that he liked the event; it would be hard to justify travel for one speaker; he'd support keeping it. Joe added that we should look at overall event / conference scheduling in that next year the Chapter conference is in Albany, with the National 2021 conference in Boston. More discussion regarding timing. Mark concluded by saying it seems there's consensus that Planners Day has been a success and that the Board wants to discuss working together with the Section on continuing Planners Day, but that the Chapter board also supports the Section wanting to do a speaker series. Jane mentioned the speakers series is a new idea, but that the overarching idea expressed by her Section board was to not do something that is already well-provided. One of the Planner Day values is being able to provide CM credits. Jim said that in NY city the chapter and sections get together more often, but it isn't as easy upstate. Jim suggested considering a new and different way to get together maybe in a different area of the state than we normally do, maybe the Adirondacks and with an international speaker to draw people out; it would be more costly but it would be shorter. More discussion about formats, speakers, sponsorships, cost. Jane said she heard clearly the desire to keep doing a Planners Day and that it is somewhat easier to do given that all the logistics have been worked out; we just need to settle on a date for 2020 and a format for the day. Mark reviewed that the Board has tried to make it more of revenue neutral thing budget-wise by cost-sharing with the Section. Jim asked about sponsorships maybe specifically for that. Mark related that we presently have annual sponsorships and conference specific sponsors. Mark thought it would be good to poll consulting planners about this. Jim offered that it would be helpful for sponsor budgeting to know the full menu of potential sponsorship levels and costs early in the year when they're deciding how much sponsorship to take on. Discussion. There is a need to discuss with Highland Planning about what is packaged in the solicitation for sponsorships. Mark concluded by saying he would work with Jane on cost-sharing for Planners Day and that event planning should begin earlier than this year. Mark thanked Jane. Jane commented that it has been nice working with Eve on the financial matters.

Western. Sarah Gatti reported that the Section has had several events. There were seventy people at their May annual awards event; they did a post event survey which will be considered for next year. She is the new events coordinator. They also had a free lunch and learn that ten people attended; an August happy hour with thirty attending; and they're thinking about quarterly happy hours. In response to a question, Sarah noted the Section only helped with food at the happy hour and needs to look at this moving forward. At their last Section board meeting they talked to Dan Hess from the University at Buffalo urban planning program about a strategic plan review of the UB planning Masters program, offering comments for that. Sarah said they're also planning a tour in October and a happy

hour with civil engineers in November. She concluded by saying the Section is working through online account issues and have formed a preliminary 2021 conference committee.

12. Committee Updates/ Work Plan Review

A. Legislative. Darren reported on the Policy and Advocacy Conference in DC last week; Sean was the official Chapter rep. The APA Great Places Awards were presented at the conference. Amsterdam won an award for their pedestrian bridge over the canal. The local Congressman, State Assemblyman and Mayor were all there for the award. It always a good conference, especially to hear what other states and chapters are doing in terms of legislative advocacy. There was training in that regard. Darren said that working with the Legislative Committee the 2020 work plan will essentially be the same; building out the committee is the primary goal. A key thing is to identify legislation of interest to members which helps to build partnerships, identify contacts in state government, and learn from other chapters. Plenty of opportunities; he'll look to report back at the next meeting. Mark thanked Darren for his work; saying it's good to have the committee engaged with other organizations and to be able to more quickly respond to issues when needed. Darren mentioned that he met with the Metro chapter representative at the conference and hopes to work with them on something.

B. Bylaws. No updates.

C. Financial. (earlier in meeting)

D. 2020 Work Planning. Mark said the link to the current work plan was at the top of the agenda and asked that people review it, focusing on their positions and any focus areas that people want to work on in 2020. Don't bite off more than can be chewed. Send comments to Mark based on what was in 2019 plan; if no changes let him know. Get to Mark before the November meeting for adoption in January. Mark will reach out for comments on the annual report to national.

13. Communications, Outreach, Partnerships. Mark congratulated Amanda for the Great Places Award and her work to pull together the application. She couldn't be there because she was traveling; she thanked Sean and Darren for their help. Amanda reported that she is hoping to post to social media aggressively in October since it is Planning Month; she'll be posting every day from the conference. She wants to emphasize focus on the sections as well during the month. The National focus is infrastructure but she's leaving up to sections and what they want to showcase. She is hoping to make things interactive. Amanda reported that the Facebook page spamming issue has been fixed. She said to use #planningmonth for national and she'll come up with a hashtag for upstate APA. Amanda said she's working on the merchandise discussion from the last meeting. She wants a site that can be integrated with the chapter web page but she hasn't yet found a good vendor with backend processing for shipping and payments so we don't have to deal with that. She wants a single vendor that has all types of merchandise. Please send any suggestions. Amanda said she tries to be proactive in posting things she sees, but reminded everyone to just shoot her a message when they want something shared on the web page. Mark thanked Amanda for her work.

14. PDO Update. Rich recounted that he had sent around a CM credit listing by email. It has gone from 199 a year to about 240 this year; there is one multi-session event that will take that over 250. Those represent just those credits he's certified; it doesn't count the Ohio chapter webcast credits we co-sponsor. There isn't anything from the Southern Tier; not sure if they certify credits locally. Contact Rich if there are any questions about how to get things certified. Rich came up with templates for single session and multi-session events to help

people submit to him; they facilitate the process of copying and pasting the information into the official APA CM desktop he is required to use.

15. **Education Officer Update.** Matt reported his primary focus has been on the student poster showcase brought back this year for the conference, for which there are five posters: University at Albany, Rochester Institute of Technology, Geneseo, University of Rochester, and the University at Buffalo. He sent an initial email in May and then followed up with schools in August. Mark thanked Matt and commented that it was good to have participation from students.
16. **Membership Officer Update.** Ellen asked if people are receiving her membership spreadsheet emails; yes. She said the membership is pretty stable at about eight hundred. The spreadsheet opens to a summary, with students and new planners broken out; students are free and the number of new planners effects the rebate formula. Cornell has almost 400 students that are members; there are more Cornell student members than regular members. Mark thanked Ellen for her report and work.
17. **County Planning Directors Liaison.** Nicolette said she didn't have anything to report. Mark thanked her for keeping up the relationships.
18. **Planning Official Development Officer.** Pat reported on the NY Planning Federation conference this spring at the Sagamore. The Chapter's APA table was fielded by Amanda and Chris Belden. She plans to coordinate a similar setup for next year's NYPF spring conference. Pat related that she had participated in a number of planning and zoning schools for local officials put on jointly by the Association of Towns and NYPF; she and two other planners participated and she recommend that to other planners. participation by planners at those sessions. Pat has told the Association of Towns they should feel comfortable reaching out to the Chapter in regard to training and information needs. Pat and Mark commented on raising the profile of planners through such things and also CM credit sponsoring. It is good promotion and presents value to allied organizations. If you encounter an organization working to present content that is worth of CM credit, try to extend the offer and help shepherd the process of getting the event or training certified for CM. Mark mentioned the recent CCLR event; they were appreciative of being able to offer the CM credit, of the cachet provided by using the APA logo, and noted a positive impact on their attendance.
19. **Liaison to Ontario Prof. Planners Institute (OPPI).** Vicki apologized for being very busy this summer; it wasn't possible to work on a cross-border twitter chat. OPPI is still interested. Mark suggested a likely coordination partner would be someone from the Western NY section. Sarah mentioned talking with George McGibben about a potential topic looking at the high Lake Ontario water levels; she said they would reach out to Vicki.

The meeting adjourned at 12:05 PM.

Respectfully submitted,
John Czamanske

Q3 2019 Financial Summary

| As of September 30, 2019 | Chapter | CDPA | CNY | GFL | SOTR | WNY | |
|--------------------------|-------------|------------|------------|-------------|-------------|------------|--------------|
| Checking | \$3,792.31 | \$1,415.66 | \$8,121.29 | \$43,718.77 | \$1,772.14 | \$6,173.88 | |
| Savings | \$5,149.93 | \$7,208.24 | | | \$6,314.84 | | |
| Kras | \$2,528.31 | | | | | | |
| Stu Stein | \$9,633.25 | | | | | | |
| CDs* | \$15,132.49 | | | | \$5,297.09 | | |
| Total | \$36,236.29 | \$8,623.90 | \$8,121.29 | \$43,718.77 | \$13,384.07 | \$6,173.88 | \$116,258.20 |

Summary

| | | | | | | | |
|--------------|-------------|------------|------------|-------------|------------|------------|--------------|
| Restricted | \$12,161.56 | | | | | | \$12,161.56 |
| Unrestricted | \$8,942.24 | \$8,623.90 | \$8,121.29 | \$43,718.77 | \$8,086.98 | \$6,173.88 | \$83,667.06 |
| CDs | \$15,132.49 | | | | \$5,297.09 | | \$20,429.58 |
| | | | | | | | \$116,258.20 |

| | |
|---------------------------------|------------|
| November 6 (relevant accounts): | |
| | |
| 11/6/2019 | Chapter |
| Checking | \$4,892.57 |
| Savings | \$3,149.97 |

NY Upstate Chapter of APA

2019 Budget

Prepared by Eve Holberg, Chapter Treasurer

November 6, 2019

| Expenses | 2019 Budget | Q1 | Q2 | Q3 | Q4 | Total | +/- |
|-------------------------------------|-----------------|----------------|----------------|----------------|----------------|-----------------|----------------|
| Accountant | \$1,200 | | \$1,175 | | | \$1,175 | \$25 |
| APA Section Rebates | \$4,000 | \$1,016 | \$1,290 | \$855 | | \$3,161 | \$839 |
| Awards Program | \$200 | | | | \$366 | \$366 | (\$166) |
| Certification Maintenance (CM) fees | \$2,508 | \$2,508 | | | | \$2,508 | \$0 |
| Chapter Only Rebates | \$100 | \$100 | \$50 | | | \$150 | (\$50) |
| Contingency | \$200 | | | | | \$0 | \$200 |
| Planners Day | \$4,000 | \$2,150 | \$1,240 | | | \$3,390 | \$610 |
| Insurance | \$1,550 | | \$1,460 | | | \$1,460 | \$90 |
| Krasner Scholarship (Restricted) | \$1,500 | | | | \$1,500 | \$1,500 | \$0 |
| Stu Stein Scholarship (Restricted) | \$1,875 | | | | | \$0 | \$1,875 |
| Meeting Expenses/Board Expense | \$250 | | | | | \$0 | \$250 |
| President | \$3,500 | | | \$1,485 | \$2,110 | \$3,595 | (\$95) |
| President's Contingency | \$500 | | | | | \$0 | \$500 |
| Pro. Dev./ Sponsorships | \$150 | \$150 | | | | \$150 | \$0 |
| Staff Support | \$10,000 | \$2,977 | \$1,238 | \$1,732 | \$2,616 | \$8,562 | \$1,438 |
| Student Initiatives | \$0 | | | | | \$0 | \$0 |
| Online expenses/PO/Office supplies | \$250 | \$317 | \$24 | | | \$340 | (\$90) |
| Miscellaneous | \$0 | \$389 | \$35 | | | \$424 | (\$424) |
| Squarespace fees | \$500 | | \$216 | | | \$216 | \$284 |
| Totals | \$32,283 | \$9,606 | \$6,727 | \$4,071 | \$6,592 | \$26,997 | \$5,286 |

84%

| Revenues | 2019 Budget | Q1 | Q2 | Q3 | Q4 | Total | +/- |
|---|-----------------|----------------|-----------------|----------------|----------------|-----------------|----------------|
| APA Rebates | \$10,000 | \$2,770 | \$4,037 | \$1,521 | \$4,164 | \$12,492 | \$2,492 |
| Chapter Memberships | \$1,000 | \$213 | \$217 | \$71 | \$146 | \$647 | (\$353) |
| Planners Day | \$800 | \$1,416 | \$747 | | | \$2,163 | \$1,363 |
| Planners Day CNY 2018 | \$0 | | \$927 | | | \$927 | \$927 |
| Planners Day CNY 2019 | \$0 | | \$614 | | | \$614 | \$614 |
| Chapter Conference 2018 | \$4,500 | | \$4,332 | | | \$4,332 | (\$168) |
| Chapter Conference 2019 | \$5,000 | | | | | \$0 | (\$5,000) |
| Chapter Presidents Council Travel Grant | \$0 | | | \$700 | | \$700 | \$700 |
| Interest Income | \$2 | \$1 | \$1 | \$1 | | \$2 | (\$0) |
| Krasner Scholarship (Restricted) | \$1,500 | | | \$1,500 | | \$1,500 | \$0 |
| Stu Stein Scholarship (Restricted) | \$1,875 | | | | | \$0 | (\$1,875) |
| Refunds and Other Miscellaneous Income | \$0 | \$389 | | | | \$389 | \$389 |
| Sponsorships | \$5,000 | \$4,746 | \$600 | | | \$5,346 | \$346 |
| Totals | \$29,677 | \$9,535 | \$11,474 | \$3,793 | \$4,310 | \$29,112 | (\$565) |

98%

| | | | | | | | |
|----------------------|-----------------|--|--|--|--|----------------|----------------|
| Profit (Loss) | -\$2,606 | | | | | \$2,116 | \$4,722 |
|----------------------|-----------------|--|--|--|--|----------------|----------------|

| | | | |
|---|---------------------|--------------|--|
| Potential 2020 Upstate APA Board Meeting Schedule | | | |
| January | 10 Friday | 10:30 | Teleconference |
| March | 13 Friday | 10:30 | Teleconference (or in person @ Planners Day or somewhere else?) |
| May | 8 Friday | 10:30 | Teleconference (or in person @ Planners Day or somewhere else?) |
| July | 10 Friday | 10:30 | Teleconference |
| September | 23 Wednesday | 10:30 | @ Annual Conference, Albany Conv. Ctr. |
| November | 13 Friday | 10:30 | @ Planning School TBD |
| All 2nd Friday's based on 2019 schedule, except Wednesday at Annual Conference | | | |
| Presume January is teleconference due winter weather potential | | | |
| Presume July is teleconference due to vacations and whatnot getting in the way of travel | | | |
| Depending on when Planners Day is scheduled & logistics, could have an in person at ESF in lieu of March or May meeting | | | |
| If not at Planners Day, then presumably March or May would/could be in person somewhere | | | |

New York Upstate Chapter of the
American Planning Association

Fiscal Policy and Procedures

Discussion Draft

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New York Upstate Chapter of the American Planning Association

Memo to the Chapter Board

This memo provides a brief overview of the Fiscal Policy that applies directly to the Chapter Board and is being brought forward for approval. This proposed fiscal policy will ensure appropriate spending and collection of revenue. A fiscal policy is not legally binding and is considered more of a plan or guideline. The overall goal is to clarify roles and responsibilities and ultimately ensure that the organization's financial data is an accurate and reliable basis for organizational decision making.

The following policy will help:

- Protect the assets of the organization.
- Maintain flexibility for sections to serve our members
- Ensure the maintenance of accurate records of the organization's financial activities.
- Provide a framework for the organization's financial decision-making.
- Establish operating standards and behavioral expectations.
- Serve as a training resource for future board and section members.
- Ensure compliance with federal, state, and local legal and reporting requirements.

I. Appropriate Documentation of Transactions

All transactions must be clearly documented. In order for the Chapter Treasurer to start processing a check request or electronic transaction the individual must provide an invoice or receipt with a short summary of the business purpose.

II. Approvals, Authorization, and Verification

Each expenditure requires authorization from both the Treasurer and the President. Appropriate processing time of at least two weeks should be allowed for each check request (This includes time to mail the payment).

III. Invoice and Approval Process

Payments shall not be distributed until services are performed to the reasonable expectations of NYU-APA Chapter. All invoice approvals of expenditures should be in accordance with the approved Chapter budget and approved Chapter and Section Workplans for the year. Expenditures not approved through the budget, identified in a workplan, process will need Board approval.

IV. Travel and Meal Reimbursement

Travel and meal reimbursement requests should follow the same authorization and documentation requirements as other disbursements of the chapter. Expenses should be considered reasonable, acceptable, and within the budgeted amount. The Chapter uses per diem rates set by the US General Services Administration. Lodging costs of a “conference hotel” may exceed the GSA lodging rate. The individual initiating a request for reimbursement must fill out the NYU-APA payment/reimbursement form. An electronic signature is accepted. All reimbursement requests should be sent to the Treasurer and President. Reimbursements related to the President’s travel activity shall be approved by the Finance Committee (or VP). The request should include all necessary receipt(s) or invoice(s). (*Note: See Appendix I for the NYU-APA payment/reimbursement form*)

V. Financial Planning

Each year, NYU-APA will prepare and adopt a budget that will forecast a 3-year period to coincide with the state conference cycle. Revenue and expenses will be based off a horizontal analysis of prior years’ amounts, with the goal of paying for recurring expenses with recurring revenue. The budget should be developed by the Finance Committee and presented to the Board for input no later than last Board meeting of the year.

VI. Reserve Policy

In order for the chapter to continue functioning despite unexpected events- the NYU-APA savings or certificate of deposit should maintain a minimum balance to cover six months of operational expenses (the average recurring operating costs). The targeted minimum balance will be calculated by the Treasurer each year after approval of the annual budget. The reserve policy should be presented to the Board for input no later than the second Board meeting of the year.

If a circumstance arises that results in the possible use of the reserve, the Finance Committee will submit a request to the Board for approval

VII. Debit/Credit Cards

NYU-APA has two debit for the President and the Treasurer of the chapter. These debit cards are to be used on an ‘as-needed’ basis for pre-approved expenditures that would make the standard check-writing procedure inconvenient - in terms of time and necessity. All debit purchases should be reported to the Treasurer for record-keeping, and subsequently approved by the Treasurer and President.

NYU-APA may issue corporate credit cards to the Treasurer, President or Section Directors. Cards shall have a \$1000 limit and be used exclusively to pay for expenses identified in a Chapter or Section annual workplan approved by the Chapter Board. Section Directors or section Treasurers are responsible to provide, in a timely manner, the Chapter Treasurer appropriate documentation of the expenditure to reconcile against the credit card statement.

Conclusion

By having this fiscal policy and procedures set in place it should mitigate confusion and risk within NYU-APA.



American Planning Association- Illinois Chapter Fiscal Policy & Procedures

MISSION STATEMENT

The New York Upstate Chapter of the American Planning Association's mission is to serve and support the professional, student, and citizen planning communities in New York State and to improve the quality of life through the use of planning. APA members seek to implement good planning in their communities and impart the benefits of planning.

STATEMENT OF POLICY PURPOSE

The New York Upstate Chapter of the American Planning Association's (NYU-APA), and its governing body, the Chapter Board, (the "Board"), is responsible to the membership to carefully account for all of the association funds, to manage NYU-APA finances wisely, and to plan for the adequate funding of services desired by the membership. These policies of the Board are designed to establish guidelines for the fiscal stability of NYU-APA, and to provide guidelines for the administrative support service of NYU-APA.

These policies will be reviewed and updated periodically and will be presented to the Board for approval as part of the Annual Operating Budget.

POLICY GOALS

This fiscal policy is a statement of the guidelines and goals that will influence and guide the financial management practices of NYU-APA. A fiscal policy that is adopted, adhered to, and regularly reviewed is recognized as the cornerstone of sound financial management. Effective fiscal policy:

- Contributes significantly to NYU-APA's ability to insulate itself from fiscal crisis;
- Promotes long-term financial stability by establishing clear and consistent guidelines;
- Directs attention to the total financial picture of NYU-APA rather than single issue areas;
- Promotes the view of linking long-term financial planning with day-to-day operations, and
- Provides the Board and the membership a framework for measuring the fiscal impact of desired services against established fiscal parameters and guidelines.

Adherence to these goals will help monitor all of the following procedures: controls, accounting, revenue, and expenditures.

I. Controls

A. General

The following Internal Control Policy, reviewed and adopted by the Board, governs the receipt and disbursement of money in custody of the Chapter and its Sections. NYU-APA is committed to adopting and implementing controls that will safeguard our assets and information to the reasonable requirements of our stakeholders.

B. Duties

Segregation of duties between custody, authority, and record keeping are traditionally separate. Since NYU-APA is a small non-profit, the President and Treasurer are heavily involved in the cash flow of the Chapter.

President – The President is responsible for the safeguard of NYU-APA assets by approving all expenditures before payment is made. The President shall also reconcile the Chapter's financial statements and bank statements on a quarterly basis.

Treasurer – The Treasurer is responsible to receive and disburse all Chapter funds and is responsible for recording all revenues and expenses, preparing checks, depositing payments, preparing necessary financial statements for Board meetings, reconciling bank statements to the QuickBooks records at the end of the month, managing online services; and also represents the financial interest of NYU-APA at Board meetings. The Treasurer assists in the drafting of the budget.

Finance Committee – The Finance Committee has a duty for recommending, updating, and implementing financial policies, the preparation of the yearly budget, and ensuring that the budget is adequate/suitable for implementing the goals of the chapter. The Finance Committee presents the annual budget for the next year to the Chapter board for adoption at the last meeting of the calendar year.

Board – The Board oversees the ultimate stewardship of financial assets – including purpose, planning, and approval and execution of financial policies. The Board's responsibility is to review financial statements, approve the following years' budget, approve the following year's chapter and section workplans, approve contracts to all staff and vendors, and oversee grant writing/management.

C. Approvals, Authorization and Verifications

All chapter expenditures are to be authorized directly by the Treasurer and the President and should relate to a budget line in the chapter's approved annual budget and work plan. For costs not identified in the Chapter's budget but less than \$500, approval of the Chapter's Finance Committee is required. For costs not identified in the Chapter's budget in excess of \$500, approval of the Chapter Board is required.

Section Expenses: Section budgets and Work Plans are approved by the Chapter Board annually. Costs related to approved section workplans shall be approved by the Section Director and Section Treasurer and documentation remitted to the Chapter Treasurer. If the expenditures were not already budgeted or identified in an approved Chapter or Section workplan, further approval is needed before making the purchase. Contact the Treasurer with the business purpose of each expenditure and the amount. This request may require a modification to the workplan and subsequent approval by the Chapter Board. The Chapter Board may also, by its approval of the expenditure, concurrently approve a modification to the related workplan.

NYU-APA approves a detailed budget and Chapter and Section workplans annually and all expenditures should be accounted for. Only the Treasurer has check-signing authority for funds in Chapter accounts. Once a payment has been authorized and signed, the corresponding invoice should be marked “PAID” to avoid duplication of payment.

D. Appropriate Documentation of Transactions and Internal Control

All transactions and other significant events must be clearly documented, and the documentation should be readily available for examination.

1. Check Requests

Payments will not be made out to vendors without proper documentation received by the Chapter Treasurer. Proper documentation includes:

1. Invoice for the requested payment with a short summary of the purpose identifying the budget line and workplan item.
2. Document showing the Treasurer’s approval, which normally occurs through e-mail.

To ensure easy access to documentation the above will be filed after check disbursement and kept for seven years. Check requests for important payments, such as taxes, special contracts, etc. should be kept permanently. All documentation will be scanned and saved within the association’s records.

2. Deposits

NYU-APA accepts checks and payments made through online services (e.g. PayPal, Stripe, Eventbrite). The processes to ensure adequate documentation are as follows:

a. Checks

Voucher checks are typically received, and sometimes, but not always, the payer will include an invoice. To ensure proper documentation of a deposit, deposit receipts from the bank shall be kept and correspond with the related entry in the accounting program.

All deposit documentation will be filed and kept for three years.

All checks should be restrictively endorsed “For Deposit Only New York Upstate Chapter of the American Planning Association.”

b. Online Services

NYU-APA processes deposits through various online services that are then transferred to the bank periodically. When they are being transferred, a report will be downloaded showing all transfers from the last to the most current transfer. This report will include all the transactions that occurred between the transfers. The report will be downloaded and saved online within the association’s records and reflected in Quickbooks.

3. Bank Statements

Bank statements are reconciled on a monthly basis by the Treasurer for all accounts administered by the Chapter. The President reviews the bank reconciliations prepared by the Treasurer and crosschecks them against supporting documentation for approval. Once completed, the President will sign off on the bank reconciliation.

Once the President has signed off on the bank reconciliations, they are to be scanned and saved among the association’s records. The physical copy is to be filed and kept for five years.

For accounts administered by Sections, bank statements are reconciled on a monthly basis by the section treasurer. The Section Director reviews the bank reconciliations prepared by the section treasurer and crosschecks them against supporting documentation for approval. Once completed, the section treasurer remits the bank statement and reconciliation to the Chapter Treasurer.

The proper documentation of NYU-APA checking and savings account will include the following:

1. Monthly checking account bank statement.
2. Monthly savings account bank statement.
3. QuickBooks reconciliation summary.
4. QuickBooks reconciliation detail.
5. Initial and date from the Treasurer from the day the reconciliation was completed and the initial and date from the President from the day the reconciliation was reviewed and approved.

4. Budgeted Request

Expenditures already included in the budget and identified in workplans should be reasonable, acceptable and within the budgeted amount.

The person initiating a request for payment or reimbursement for expenses incurred must fill out the NYU-APA Check Reimbursement Form. An electronic signature is accepted. The form should be emailed to the Treasurer at for approval. The e-mail must include both the check request form (see page 6 of this document) and the invoice(s) or receipt(s) before approval is made. Once the Treasurer approves the

request, the Treasurer will email all documents to the President for approval, then process the payment.

5. Travel and Meal Reimbursement

Reimbursement requests related to budgeted expenses for travel and meals incurred by chapter officers and members should follow the same authorization and documentation requirements as other disbursements of the chapter. The Chapter shall use the per diem rates set by the U.S. General Services Administration. Lodging costs of a “conference hotel” may exceed the GSA lodging rate.

6. Unbudgeted Request

If the expenses were not already budgeted, see procedures in section **C. Approvals, Authorization and Verifications.**

E. Record Retention

Note: Taken from the APA Chapter Financial Management Guide Edition 5-17.

The following listing contains suggested holding periods for various types of records the NYU-APA may have. Attention should be given to potential requests by government auditors in making the final determination.

Documents to be kept permanently:

Audit reports, chart of accounts, sales records, purchase orders, meeting minutes, chapter bylaws, check requests (for important payments, i.e., taxes, special contracts, etc.), correspondence (legal and important matters only), financial statements (year-end, other optional), general journals/ledgers, and tax returns.

Documents to be kept for 7 years:

Contracts, check requests (see exception above), and invoices (from vendors).

Documents to be kept for 5 years:

Bank reconciliations and bank statements.

Documents to be kept for 3 years:

Correspondences (general), duplicate deposit slips, internal reports (miscellaneous), correspondence (routine) with members and/or vendors, insurance policies (3 years from expiration).

F. Data Security

Sensitive information is protected from unauthorized access. Each account that NYU-APA maintains will undergo a change of password every six months.

H. Performance Reviews and Supervision

Performance reviews and supervision are needed to ensure that adequate organizational goals are achieved. The Treasurer is responsible for providing the necessary financial statements at Board meetings: Profit & Loss Budget vs. Actual and the Balance Sheet. Once the reports are completed, they will be sent out for review by the President and Treasurer. After approval, they will be made available to the entire Board to view, discuss, and approve at their meetings. It is important that these documents are reviewed for their current performance when compared to the budget to monitor any unexpected irregularities that could have occurred and need to be addressed.

I. Audit

NYU-APA will comply with any Federal or State law when either revenue or contributions exceed the thresholds that require the submission of audited financial statements. Barring reaching that threshold amount, since NYU-APA reports contributions less than the Federal or State thresholds, NYU-APA will work with an independent certified public accountant (CPA) to conduct an audit of their financial statements as determined by the Finance Committee.

NYU-APA will retain the right to perform financial, compliance, internal control, and performance audits on any entity receiving funds or grants from NYU-APA .

J. Insurance

Carrying Directors and Officers and general liability insurance is an option that is exercised for the chapter's own protection.

Chapter officers and the President are responsible for exercising reasonable care over the assets of their Chapter. Therefore, every year NYU-APA purchases commercial general liability insurance to protect itself and its officers and directors.

II. Accounting

A. General

NYU-APA has an operating bank account and savings bank account, while maintaining their own accounting records through QuickBooks. The Treasurer receives monthly bank statements for both accounts, which are to be reconciled to the QuickBooks file each month. All payments should be made by check, credit card, or through online services, never cash. Payments made by check decrease the likelihood of misappropriation and provide an audit trail.

B. Reserve Policy

The savings account or certificate of deposit should maintain a minimum balance to cover six months of operational expenses (the average recurring operating costs). This reserve policy enables the chapter to continue functioning despite the possibility of an economic downturn, loss of members, or other unexpected events. The target minimum balance should be calculated by the Treasurer each year after approval of the annual budget. The reserve policy should be presented to the Board for input no later than the second Board meeting of the year.

If a circumstance arises that results in the possible use of the reserve, the Treasurer will submit a request to the Board for approval. This request should include the amount, a detailed plan of how the reserves will be used, and how they will be replenished. The Board will analyze the current amount of the reserve, the overall likelihood of the reserve being replenished, and whether or not the request is consistent with the reserve's purpose. The reserve should be replenished back to the target minimum balance within six months.

C. Financial Planning

Each year, NYU-APA will prepare and adopt a balanced budget that will forecast a 3-year period to coincide with the state conference cycle. Revenue and expenses will be based off a horizontal analysis of prior years' amounts, with the goal of paying for recurring expenses with recurring revenue. The budget should be presented to the Board for input no later than the last Board meeting of the year. The goal of the budget is to allocate resources that will effectively and efficiently serve NYU-APA's stakeholders.

D. Financial Reporting

NYU-APA operates on a calendar year under a cash-basis method of accounting. All reports are compiled under the practices best suited to a small not-for-profit organization. NYU-APA's reporting system will also provide monthly and yearly information on the total cost of specific services by type of expenditure and revenue.

Quarterly financial statements are to be prepared by the Treasurer for the review of the Board and APA-National. Year-end financials will also need to be sent to APA-National by the end of the third quarter.

NYU-APA will hire an independent CPA to compile the yearly Form 990.

III. Revenue

A. General

Revenue will be conservatively estimated and regularly reviewed to ensure accuracy and completion. It is the responsibility of the chapter to design and implement effective processes for revenue collection for its members. All checks received should be deposited the same day, and any amounts from online services (e.g. PayPal) should be transferred to the appropriate bank account in the same cutoff period.

B. Dues

Member dues are submitted to APA-National and rebates are remitted directly to NYU-APA 's bank account each quarter. Chapter-Only member dues are processed by the Treasurer through an online service (e.g. Stripe). The online service balance should be transferred at the end of every month to NYU-APA 's bank account. The Membership Officer will document and analyze the members, member type, and monetary amounts compared to prior quarters.

D. Conference

The Chapter will split conference profits with the host Section on a 50/50 basis. Conference losses will also be shared equally with host Section. Sponsorship solicitation shall be coordinated by the Chapter and the Chapter Administrator.

Alternatively, the Chapter can cover all costs and receive all registration fees and sponsorships related to the conference.

Rotation order

- a. Western New York Section
- b. Central New York Section
- c. Southern Tier Section
- e. Genesee-Finger Lakes Section
- d. Capital District Planners Association

If a Section is unable to host the Annual Conference when its turn falls due, it will shift to the next Section and so on, until the Section is able to host the conference

NYU-APA members are required to register as paid attendees for NYU-APA's state conference and register at member rate which corresponds with the date when they register (i.e. prior to the early deadline, before the regular deadline, or on-site). The bulk of these individuals pay the early registration rate; however, some wait and pay the regular rate or the on-site rate.

Speakers at NYU-APA conferences who are NYU-APA members and plan to attend the NYU-APA conference sessions outside of the one at which they are speaking are required to register as paid attendees for the conference and register at the member rate which corresponds with the

date when they register and the number of days they plan to attend (i.e. full conference or one-day rate).

Speakers that are non-members are eligible for a guest registration at no cost if they plan to attend only their session. This option does not allow them to participate in the rest of the conference. Non-member speakers are also eligible to register for the entire conference or one day at the APA member rate.

E. Grants

No one other than the Board or their express designees may apply for grants on behalf of NYU-APA. Grants are to be used to meet specific, additional tasks of the Chapter but not as a relied upon source of income. Likewise, non-recurring expenditures specifically taken on by NYU-APA should not be paid for with recurring revenue. The President and Board will regularly review the progress of grant-funded projects to ensure completion with available funds. A liaison from the Board must be a part of all grant-funded projects. A Board member may not be the direct recipient of any grant funds unless a formal bid process has been followed.

F. Sponsorship

NYU-APA accepts financial contributions through sponsorship for their annual state conference, section and committee events. The Treasurer should be notified of any incoming sponsorships. Sponsorship contributions will be collected either through an online service (e.g. PayPal, Stripe) or by check. Upon request, the NYU-APA can issue invoices to sponsors. Notify sponsors that the invoice-check process is our preferred method to reduce NYU-APA's liability and possible discrepancies. Also, allow enough time for the process (refer to Section .I.C.).

There is no threshold or ceiling for accepting financial contributions from sponsors.

IV. Expenditures

A. General

Expenditures for NYU-APA will be spent on items/services that further the mission of the Chapter. All expenditures shall be paid in the form of a check, credit card, or through online services – never with cash.

B. Invoice & Approval Process

Payments will not be made to vendors without proper documentation received by the Treasurer and approval by the Treasurer and President. Payments shall not be distributed until services are performed to the reasonable expectations of NYU-APA. All invoice approvals of expenditures should be in accordance with the approved budget for the year. Expenditures not approved through the budget and workplan approval process will need Board approval.

The Board will monitor expenditures throughout the year. Any check made out to vendors not cashed within 8 weeks of it being sent will be followed up with phone call to vendor to check on the status of the check and void check if necessary.

C. Debit/Credit Cards

NYU-APA has two debit for the President and the Treasurer of the chapter. These debit cards are to be used on an ‘as-needed’ basis for pre-approved expenditures that would make the standard check-writing procedure inconvenient - in terms of time and necessity. All debit purchases should be reported to the Treasurer for record-keeping, and subsequently approved by the Treasurer and President.

NYU-APA may issue corporate credit cards to the Treasurer, President or Section Directors. Cards shall have a \$1000 limit and be used exclusively to pay for expenses identified in a Chapter or Section annual workplan approved by the Chapter Board. Section Directors or section Treasurers are responsible to provide, in a timely manner, the Chapter Treasurer appropriate documentation of the expenditure to reconcile against the credit card statement. Any expenditures made with the a corporate credit card by a Section Director shall be reimbursed to the Chapter from Section accounts.

The President should not be approving his/her own expenses, and therefore, only the Treasurer will approve of expenses when relating directly to the debit card for the President.

The Treasurer should not approve of his/her own expenses, and therefore, only the President will approve of expenses when relating directly to the debit card for the Treasurer.

D. Independent Contractors

All contracts must be vetted and approved by the Board before being taken on by NYU-APA. Yearly contracts with recurring agencies must go through a bidding once every three years to ensure NYU-APA is making cost-effective decisions. A Board-nominated liaison(s) will be the primary contact for any agency with an active contract and will regularly report activities during Board meetings.

E. Sponsorship

NYU-APA also occasionally sponsors allied organizations. NYU-APA sponsorship can happen two ways – in kind sponsorship or financial sponsorship. The preferred method is in-kind sponsorship (no monetary value).

In-kind sponsorship can take shape as offering a sponsor booth exchange or providing Certification Maintenance credits (CM Credits) for an event.

In determining eligibility for NYU-APA sponsorship to an allied organization, below are a list of guidelines to consider when a request is made to help support an organization, a program or an activity:

1. Lead agency should be a non-profit organization, government agency or educational institution.
2. Meets one or more of NYU-APA 's focus areas of education, environment, health, diversity, or community engagement.
3. Directly impacts or benefits communities within Upstate New York.
4. Serves to elevate NYU-APA 's visibility, awareness and image of the American Planning Association at the Chapter level.
5. Is a one-time contribution, not a multiyear giving program.

It is recommended that the NYU-APA Executive Board cap a single financial contribution to \$500 per year, and shall not exceed \$1000 total for all annual contributions in one year, all subject to current budget availability.

American Planning Association – New York Upstate Chapter

Request for Payment

I request payment/reimbursement for the attached receipt(s)/invoice(s) be made for expenses incurred (**receipt(s)/invoice(s), credit card statement(s) must be attached for any reimbursement to be made**).

Date:

Requested by:

Make Check Payable to:

Mail Check to (address):

Date of Request:

Amount of Request:

Purpose:

For office use only:

Account/Line Item:

Treasurer Authorization: _____ Date: _____

| Check Number | Amount | Date |
|--------------|--------|------|
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