



Stony Brook  
University

The Internal Control Program of  
The Graduate Student Organization,  
Stony Brook University

Approved by the GSO Senate,  
May 2012

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## **Introduction**

The Internal Control Program (hereinafter, ICP) was originally voted into law by the GSO Senate in April 2006, but at that time it was entitled, “The Financial Bylaws.” It is hereby being renamed to “Internal Control Program” in order to comply with the auditing standards. This document outlines the policies and procedures for the disbursement of the Graduate Student Organization (hereinafter, GSO) funds. The guidelines for applying for funding from the GSO can be found under the appropriate headings. Further, the guidelines and procedures for applying for short-term loans from the Graduate Student Emergency Loan Fund (GSELF) shall be included in this ICP as Appendix D.

## **1 The Budget Committee**

The GSO BC shall review the funding requests and make recommendations to the Senate in accordance with the GSO Annual Operating Budget and the GSO ICP. The BC shall also make recommendations to the RCC for amendments to the ICP.

### **1.1 Budget Committee Guidelines**

- A. The BC shall meet at least once a month when the classes are in session with the date, time and location announced by the GSO Treasurer at least 7 days in advance via the Senate mailing list/through the GSO website.
- B. In addition to five BC members stipulated by the GSO Constitution (regular voting members), the Senate may appoint any number of alternate voting members. For each regular voting member who is absent from a BC meeting, one alternate voting member who is also present shall gain the right to vote at that meeting. The order in which alternate voting members gain the right to vote at each meeting shall be the order in which the Senate appointed them to the BC.
- C. The Committee’s agenda at each meeting shall include:
  - i. The Treasurer’s report, including significant activities, the status of the budget, all funding requests and disbursements under any category.
  - ii. The interested parties shall present all funding proposals. There may be time allowed for questions and answers.
  - iii. The BC will reach a decision for each proposal. During this time, discussion by non-committee members is out of order. Any decision shall include the budget category from which the funds will be allocated. If the requesting party is unsatisfied with the BC decision they may appeal and present the request to the GSO Senate for approval. If the request involves a member of the EC or the BC, the final decision shall be made by the Senate. The BC may determine to do any one of the following:
    - a. Approve the proposal as it stands;
    - b. Approve the proposal with revisions;
    - c. Refer the proposal to the Senate as it stands;
    - d. Refer the proposal to the Senate with revisions;

- e. Not approve the proposal;
  - f. Table the proposal.
- iv. Proposed budget revisions to be approved by the Senate.
  - v. Proposed ICP revisions to be suggested to the RCC.
- D. The BC may impose time limits on the presentation and discussion of each funding proposal at the committee meeting.
- E. The Treasurer shall include in his/her reports to the Senate, a summary of all BC requests and decisions.

## **1.2 Budget Committee Senate Report**

- A. At each Senate meeting, the Treasurer or his/her official designee as approved by the Executive Council (hereinafter, EC) is required to be present and to provide the Senate with a BC Report.
- B. The essential contents of this report must be approved by a majority vote of the committee at a prior BC meeting. This report will be circulated amongst the BC members prior to the next Senate meeting.
- C. The BC Report shall include all of the following items about which there is any new information to report.
- i. The current budget's status. The status of the budget is a listing by category/line item of the spending ceilings, expenditures, encumbrances and available funds. Terms are defined as follows:
    - a. Spending Ceiling (SC) for a category/line is the current (possibly revised) amount that the budget lists for the category for the fiscal year.
    - b. Expenditures (EX) for a category/line are the total of all checks actually written whose vouchers list the category/line.
    - c. Encumbrances (EN) is the total of all expenses in the category/line that have been approved by (written into the minutes of) either an EC meeting or a Senate meeting but for which a check has not yet been written.
    - d. Available Funds (AF) are calculated as follows:  $AF = SC - (EX + EN)$ .
  - ii. The disposition of assets: Assets are funds left over from previous budgets or received through miscellaneous revenues.
  - iii. Proposals for use of assets.
  - iv. Proposed Expenditures: A list by category/line of proposals brought to the BC or the Treasurer requiring Senate approval. This should be further subdivided into categories the BC and/or the EC recommends and into those that are not being recommended to the Senate for whatever reason.
  - v. The BC may from time to time make recommendations to the Senate to release encumbered funds that have little to no chance of being spent. The final release is up to the Senate.
  - vi. Activities of the Treasurer that may be of interest to the Senate.

## 2 Annual Operating Budget

The GSO's Annual Operating Budget is prepared each spring by the BC of the GSO in conjunction with the Custodial and Disbursing (fiscal) Agent (hereinafter, C&D Agent) of the GSO, and is verified by RCC. They review each area of the previous year's Annual Operating Budget and make adjustments as warranted based upon a review of the prior fiscal year's actual expenditures. Budget process timeline is provided in Appendix E.

A. The GSO fiscal year shall be from July 1 through June 30.

B. The Annual Operating Budget is submitted by the BC to the EC before the April GSO Senate meeting of each year. The BC shall go over each expenditure line through weekly meetings between the March Senate meeting and the April Senate meeting. Lines will be evaluated in one of the following ways using viewpoint neutral criteria:

1. Named Grants: The payees of these lines will provide the following information: if they are seeking for the same funding, more funding, or less funding; a list of services provided; how many students used/benefited from their services; and how they fulfilled their MoU/Mission Statement. The groups may also provide a budget of how their allocation was spent during the previous fiscal year. Groups have to be invited to the BC meetings discussing their funding. All the submitted information must be evaluated by the BC using viewpoint neutral criteria and any change of funding must be justified in the Budget presented to the Senate in April.

2. GSO Office, Internal GSO functions, Miscellaneous Grants, Program funding: these lines must be evaluated by reviewing the amount spent from them the last fiscal year and what is projected to be spent the next fiscal year. The BC shall provide the Senate with rationale for any changes.

3. Payroll, Accounting, GSO Publication, Orientation, Residential Support, Campus Life Awards, Legal Clinic, Tax Clinic: The BC in conjunction with EC, appropriate administrators, or GSO staff/service providers negotiates these funding lines.

C. The EC shall vote on whether to recommend presenting the proposal, as prepared, to the Senate in April, or shall suggest changes. The budget and any comments are then discharged and presented to the Senate for review in April. After any revision, recommended by the Senate, is incorporated into the Budget by the BC, it is voted upon at the May GSO Senate meeting. The budget requires a majority vote of the Senate to be passed. If the Senate does not adopt a budget before the end of classes, the Senate shall meet before the end of the fiscal year to adopt a temporary budget. This temporary budget shall be subject to final approval at the first Senate meeting of the next academic year.

D. After receiving Senate approval, the budget must be submitted to the chief administrative officer, or designee. The Treasurer shall settle any discrepancies between the budget approved by the Senate and the budget approved by the chief administrative officer, or designee over the summer break for approval by the GSO Senate at the first meeting of the next academic year.

E. The budget consists of several categories. Each category is assigned a spending ceiling. The total of all categories shall approximate the expected revenues for the fiscal year. After the budget is adopted and as the Senate approves various expenditures, each category is annotated with approved budget items. Each item represents a commitment on the part of the GSO to provide the allocated funds to the indicated group or person. The total of all such encumbrances in each category shall not exceed the total approved in the current or revised budget for the given line item. This total shall include all funds already disbursed and all those promised, but not yet disbursed.

F. After the Senate has adopted the budget the C&D Agent or any member of the GSO may propose a revision in the budget to the BC only. Such revisions may include changing amounts in the various budget categories, reallocating funds from one line to another and creating new budget categories as needed. Such revisions require a majority vote of the Senate.

G. After the final approval, any changes in the budget greater than \$1,000 require additional approval from the chief administrative officer, or designee. Any changes to the budget must follow the procedures as outlined in the ICP.

H. If a particular line item is in jeopardy of running a deficit, the Treasurer shall present this at an appropriate BC meeting for a recommendation to be made to the Senate. Senate may approve overspending the line by drawing assets from the surplus, given that sufficient funds available in the surplus. The overspending requires a majority vote of the GSO Senate.

### **3 Disbursement of the GSO Funds**

The GSO employs a C&D Agent to manage the GSO bank accounts, disburse funds for payment in accordance with the GSO Constitution, ICP, and the current approved budget; and maintain financial records for and in conjunction with the GSO.

A. Upon receipt of a properly endorsed financial payment voucher, the GSO's C&D Agent debits the appropriate funds from an operating account maintained by the C&D agent and prepares a check payable to the individual listed on the payment voucher, with the exception of the payroll expenses which are specifically drawn from a payroll account.

B. Policies regarding vouchers will be devised by the EC in conjunction with the BC and RCC, and are stipulated in the annual GSO/C&D Agent Agreement.

C. All vouchers require the signature of the GSO Treasurer, an officer other than the Treasurer and the C&D Agent. An executive officer cannot sign their own voucher, except the Treasurer who must sign all vouchers. In the case where the Treasurer needs to be reimbursed, two officers beside the Treasurer, the Treasurer and the C&D Agent need to approve the payment voucher. The GSO executive committee should provide the C&D agent with specimen signatures for easy verification. Electronic signatures are acceptable.

D. In the situation that an expenditure is not approved, an appeal may be brought to the Board of Appeals for recommendation to the full Senate during a regularly scheduled Senate meeting at the request of the petitioning party. The Senate shall have the final authority to override the executive officers' decision and approve any

unapproved expenditure. In such an instance, the Speaker, Treasurer, C&D agent and the requisite number of officers shall sign the voucher and attach a copy of the Senate meeting minutes where the allocation was overrode and approved. The payment voucher will then be presented to the C&D agent after which time a check shall be drawn and money will be debited from the appropriate account. If the C&D Agent fails to approve the transaction, the procedure outlined in the C&D Agent's contract and the ICP will be followed.

E. Original receipts are required for all funding requests, unless a provision is made in ICP. If funding is requested to cover partial expenses not paid in full by another primary funding agency, an official written statement of funds provided and a photocopy of all original receipts is required from the agency. Reimbursements for e-tickets will be made only upon submission of the original boarding pass stub, baggage claim check, or frequent flyer reports. If the boarding pass stub is unavailable, the funding request needs to be checked and approved by a majority vote of the BC.

F. All supporting documentation should be stamped by the GSO Treasurer in order to preclude reuse of the documents.

G. Funding requests for all of the expenses incurred during a particular fiscal year should be submitted and received within a month after the end of a fiscal year. Any exceptions will be discussed by the BC and approved by the EC and/or Senate (when classes are in session).

H. GSO funds allocated for events from the General Cultural and Social Events, Speaker Series and Conferences, EPIC lines, as well as, Club Allocations, or Departmental Allocations may not be used in the form of donations to or compensation for organizations such as, but not limited to charities, spiritual/religious institutions, and/or foundations.

I. The GSO Treasurer has the right to appoint another member of the GSO Executive Committee as a designee who can perform the duties of the Treasurer in his/her absence.

i. The GSO Treasurer and the Treasurer's designee will sign an memorandum of understanding (MOU) specifying the dates of the Treasurer's absence. This document designating signatory power to the Treasurer's designee will be attached to every voucher signed by the Treasurer's designee. The Treasurer's designee may not stamp or use the Treasurer's stamp on the documents. The documents must clearly indicate the position of the designee.

ii. Upon return to the office of the Treasurer, the Treasurer reserves the right to review all documentation submitted in his/her absence.

J. In FY 12-13, the GSO Treasurer will have the right to appoint a Productions designee that will manage the disbursement of funds for the line of GSO Productions, if approved by the Executive Committee and recorded in the EC minutes. The Productions designee will assume all responsibilities of the GSO Treasurer including the signatory power of vouchers for GSO Productions and serving as a liaison between the Production Director and the C&D Fiscal Agent.

K. Gift cards may only be distributed by the Executive Committee for events occurring at the Fall and Spring festival.

## **4 Income**

Although the GSO receives funds from several sources, the primary source is the student activities fee assessed on graduate students. The university collects the fee on behalf of the GSO which is then wire-transferred to the C&D Agent. In accordance with the annual GSO/C&D Agent Agreement, it is the job of the C&D Agent to record the fee into an account maintained by the C&D Agent. As stipulated in the SUNY Regulations, codified in the NYS Compilation of Codes, Rules and Regulations (8 NYCRR 302.14 (a)):

“Prior to the close of the academic year 2004-2005 and every two years thereafter, the student body (or such components thereof as may be designated by the chief administrative officer, or designee) at each State-operated campus shall determine by referendum whether student activity programs shall be supported by either voluntary or mandatory student fees. Such referendum shall be held on the same day as the annual elections for officers of the representative student organization or organizations (hereinafter referred to as "student government"). The determination resulting from each referendum shall remain in force for a period of two academic years, except that at any time and from time to time within such two-year period a subsequent referendum held in accordance with the constitution and by-laws of the student government may effect a change in this determination with respect to the following academic year.”

Interest is accumulated against the GSO savings held by the C&D Agent and is based upon this amount. Miscellaneous Income is typically generated through publication advertisements but can also be obtained through other grants, charitable contributions/donations, etc.

In addition, the GSO solicits Resource Access Project (hereafter referred to as RAP) grants in FY 07-08 from the following entities: the President’s Office, the Graduate School, the Research Foundation, the College of Arts and Sciences and the College of Engineering and Applied Sciences. It is the job of the Treasurer to prepare a proposal to solicit additional grants each year to increase the funds for this program.

## **5 Operational Expenses**

The money allocated for the GSO operations is broken down into the following four categories: GSO Office, Payroll, Accounting and Internal GSO Functions. Each line item falling under these subcategories is allocated for GSO operations as EC item and does not require Senate approval. However, Senate approval is still necessary for reallocation/overspending of funds unless noted.

### **5.1 GSO Office**

This category is for the purchase of general office equipment and supplies, postage, office rental equipment, telephone service, hosting of the GSO web sites and purchase of insurance policies including General Liability and Dishonesty (fidelity) insurance (as per SUNY Regulations) in addition to fire and theft insurance for the GSO office. The GSO EC has the authority to reallocate money amongst the subcategories as it becomes necessary for performing GSO business up to the sum of its parts specified under the heading “GSO Office.” The purchase of the new GSO equipment requires a majority vote of the Executive Council, and must be documented in the EC meeting minutes along with justification of purchase. As stipulated by the

GSO Constitution, the Secretary is responsible for maintaining the list of all GSO equipment with the cost of over \$50.00.

## **5.2 Payroll**

### ***5.2.1 Officer Stipends***

The GSO will pay its officers (President, Vice President, Secretary, Treasurer, and Speaker of the Senate) stipends for their services in the amounts set in the Annual Budget. The stipends of the GSO officers may be prorated as necessary.

The President, Vice President, Secretary, and Treasurer must take an oath of office and sign the Statement of Fiduciary Responsibility to be kept on file in the GSO office and on the GSO website before receiving their stipend. This oath will be publicly administered by the Chair of the Senate after their election during the May Senate meeting. Any appointed officers must also take the oath of office from the Chair of the Senate and sign the Statement of Fiduciary Responsibility. If there is no Vice President or Speaker, officers may administer their own oaths in front of the Senate. In no case can any officer but the Vice President or Speaker administer an oath of office. The Speaker of the Senate must also publicly take an oath of office and sign the Statement of Fiduciary Responsibility to be kept on file in front of the Senate right after his or her election. The oath can be found in Appendix C and the Statement of Fiduciary Responsibility can be found in Appendix F.

### ***5.2.2 Employee Salaries***

An annual Memorandum of Understanding guides the terms of agreement between the GSO and all its employees. It is signed by the EC and the employee. Memoranda of Understanding can be challenged in the Board of Appeals Committee in the case of breach of contract or actions by either party that violate the Constitution/Bylaws or harm the well being of the GSO at the request of one of the signing parties or by majority vote of the GSO Senate. In this case the Memorandum of Understanding is suspended until the rulings of the Board of Appeals are released. The amount of the various salaries under this line is to be specified each fiscal year in the Annual Operating Budget of the GSO. All salary amounts might be prorated as necessary.

A. The Office Manager category is designed to pay the GSO administrative personnel.

B. The Web Master line is to pay the web master for maintaining two websites: the GSO website '[www.sbgso.org](http://www.sbgso.org)' and the Publication's website.

C. The line Public Relations, is to pay an individual hired by the EC to disseminate and publicize the graduate student events and programs on campus to the University community and provide assistance to the office manager and GSO Executive Council in managing the GSO Office.

D. As of FY 12-13, the Web Master and Public Relations positions will be incorporated into one position termed Media Relations Specialist. The Media Relations Specialist will be responsible for (i) designing and maintaining the GSO website '[www.sbgso.org](http://www.sbgso.org)' in consultation with the GSO Executive Council; (ii) Updating GSO announcements, uploading GSO documents (i.e., Constitution, ICP, Senate Meeting minutes, Standing Committee minutes, etc), and any other relevant

materials such as surveys, videos, blogs and podcasts to the website, as consulted with the GSO Executive Council; (iii) Conducting regular maintenance to the GSO Office computers; (iv) Disseminating and publicizing events funded by the GSO to the University community; and (v) Providing assistance to the GSO Office manager and GSO Executive Council in managing the GSO Office.

E. Survival Guide Editor: The general responsibilities of the Survival Guide editor are defined in section 6.1.1.

F. Publication's Staff: The general responsibilities of the Publication's staff are defined in section 6.1.2.

G. The line for the Production Director is to pay an individual hired by the EC to manage the sound equipment and coordinate the events. In addition to the stipend, the Production Director will be paid a 25% commission of all revenue generated by renting GSO Sound Equipment. Other details of the responsibilities of the Production Director will be stipulated in the Memorandum of Understanding between the individual holding the position and GSO EC.

### **5.2.3 Other**

The category Payroll Tax/Insurance is designed to pay Social Security, Disability, Workers Compensation and Unemployment for members of the GSO office..

## **5.3 Accounting**

The C&D Agent Administrative Fee line covers all fees related to the GSO account management provided by the C&D Agent. The allocation is based on the annual contract between the GSO and C&D Agent.

As is mandated by the Chancellor's Guidelines, New York Corporate law, and both Federal and State tax law, the GSO will contract an Accountant to provide a year-end audit. The Accountant will also prepare the GSO tax return(s).

## **5.4 Internal GSO Functions**

### **5.4.1 Meetings**

The Meetings line is utilized exclusively to pay for food and beverages at the GSO Senate meetings. The GSO credit card may be used to make purchases from this line or an executive officer can be reimbursed for the purchase. Original receipts are required for all reimbursements from this line.

### **5.4.2 Miscellaneous Expenses**

Miscellaneous Expenses line covers any unanticipated expense not covered elsewhere in the budget. These expenses must be approved by a documented majority vote of the EC. The expenses may be paid using the GSO account/credit card. In case an officer or any other party needs to be reimbursed from this line, original receipts are required.

### **5.4.3 Graduate Student Nights**

This line is to pay for campus wide gatherings of graduate students at least once a semester

at a venue that serves food and beverages with a capacity of at least 100 people in order to foster social community.

#### ***5.4.4 GSO Travel***

GSO Travel shall be utilized to pay for the travel, lodging and registration expenses of individuals appointed by the Executive Council or the Senate and charged with conducting official GSO business outside the campus community (for example, meetings of SUNY Student Assembly or National Association of Graduate and Professional Students). All expenses that can be prepaid will be paid from the GSO account upon approval of the Treasurer. The appointed individual(s) are required to present a report to the Senate, including expenses, before getting reimbursed. The Senate, Executive Committee, and/or Treasurer have the right to challenge questionable expenses within a week of the report. The funds will be disbursed upon approval of the Budget Committee.

#### ***5.4.5 Committee Expenses***

Committee Expenses line covers the expenses incurred for the promotion of meetings, programs, policies and activities of a GSO committee. Examples of qualifying expenses include printing costs associated with advertising programs, surveys, and stationary-related items as needed to properly conduct business, etc. Funds are disbursed after a request from the Chairperson of the committee and a documented majority vote of the Executive Committee with the exception of the Elections Committee where up to \$250 may be spent on calls for candidates and elections outreach without the Executive Council approval.

#### ***5.4.6 NAGPS Membership***

This line is utilized to cover the yearly membership fees of the Stony Brook GSO in the National Association of Graduate and Professional Students. Membership fees must be paid at the beginning of the academic year.

## **6. Program Expenses**

These are the expenses that support the graduate student population, campus community and general welfare of graduate students.

### **6.1. GSO Publications**

This category is utilized to fund the annual publication, the Survival Guide, and the Periodic Graduate Student Publication.

#### ***6.1.1. Survival Guide***

The GSO Survival Guide is a full reference for incoming graduate students with information about the services available on and off campus as well as necessary contact information and the description of University Policies. The line is divided in two subcategories: Printing and Editor.

A. Editor: The editor operates under a Memorandum of Understanding negotiated each year by the (previous year's) Executive Council. The editor is allowed to update, revise and expand the previous year's Survival Guide. The Survival Guide will be distributed at Graduate Student Orientation and at any other suitable place as well as be made available online.

B. Ad Solicitors: The editor may request that the Executive Committee put out a call for advertising solicitors that will produce advertisement income for the Survival Guide with a finder's fee of 25% of the solicited amount. The ad solicitors will sign a Memorandum of Understanding which specifies the rate schedule for advertisement as determined by the EC.

C. Printing: After approval of Executive Council, Survival Guide will be printed prior to the Fall Graduate Student Orientation.

### **6.1.2. GSO Periodic Publication**

The GSO Periodic Publication (hereinafter, Publication) is a publication, sponsored by GSO, and operating under the mission statement, given in Appendix B.1. The Editor-in Chief of the Publication is responsible for adhering to the Publication's mission statement and regularly reporting to the GSO Executive Council, which acts as the publisher for the publication. The GSO Executive Council holds the copyright to all materials printed in the Publication and has ultimate authority over any and all issues relating to the publication's oversight. The Publication's Editor-in-Chief is responsible for staying in contact with the Executive Council, and the Executive Council is responsible for keeping the Editor-in-Chief abreast of any discussion regarding the Publication so that the Editor-in-Chief may participate in that discussion if he or she wishes.

This line has been divided into three subcategories: Editor-in-Chief, Assistant Editor, and Publication Grant. The editorial staff shall consist of an Editor-in-Chief in addition to a staff of Assistant Editor to be determined by the EC with non-binding recommendations from the Editor-in-Chief, up to the amount specified under the line item, Assistant Editor. All Publication's staff shall be considered Salaried Employees and fall under the regulations in 5.2.2. The Publication is to be routinely published online and in hard copy. Funding for the Publication will come from two sources: the GSO will subsidize most of the cost, and the rest will come from advertisement revenue. The editorial staff and approved ad-solicitors may also solicit advertisement income for the magazine with a tiered finder's fee of the solicited amount to be determined by the BC in conjunction with EC. The editorial staff and any additional ad solicitors are required to report advertisement revenue to the BC which will monitor the exact distribution of funds. Other parties interested in soliciting ads for the Publication must contact the EC.

#### **6.1.2.1 Publication Grant**

The funding in this category is used to provide additional funds to the Publication's staff to be used towards the Publication-related expenses, including, but not limited to printing, hiring additional staff members, etc. In order to apply for Publication Grant, the Publication's Editor-in-Chief has to follow the following procedures:

- A. Editor-in-Chief of the Publication must submit a Funding Request Proposal. It should consist of an itemized budget for the grant and all the supporting documentation as per the request of the Treasurer and BC.
- B. The Treasurer reviews request for funding provided under this category after receipt of a Funding Request Proposal.
- C. All funding requests must be approved by the Senate prior to disbursement.
- D. The Treasurer shall report all funding requests in this category to the BC and the Senate. The BC will advise the Senate whether or not they recommend funding for the grant and to what level.

E. The Senate will vote to approve or reject the request as well as will determine the amount of the allocation. The Senate may modify the amount from the BC's recommendation and impose any additional restrictions. Each funding request requires a majority vote of the Senate to be approved.

F. If approved by the Senate, the money allocated for a grant will be disbursed. The Treasurer/Budget Committee may request additional documentation as needed.

## **6.2 Contributions and Public Service**

The GSO provides monetary grants to a number of public service organizations that benefit graduate students at Stony Brook University. Allocations are only disbursed for expenses incurred during the current fiscal year.

### **6.2.1 Orientation**

The GSO contributes to the Graduate School's new Graduate Student Orientations. Funds will be disbursed at the request of the Graduate School.

### **6.2.2 Residential Support**

Money from this category is available only to the representative resident associations of on-campus graduate apartment complexes that are recognized by the SBU Student Union and Activities Department. Receipt of these funds is contingent upon an official representative of the Resident Association serving as a committee member of the GSO Housing Committee. Requests for funding provided in this category are reviewed by the Treasurer after receipt of a completed Resident Association Funding Request Proposal. A Resident Association Funding Request Proposal shall consist of:

- i. A signed memo from the association's president to the GSO that includes a statement of its benefits to on-campus graduate student residents, and a list of all officers and their contact information.
- ii. The association's constitution with a meaningful equal opportunity clause.
- iii. A letter from the association's faculty advisor stating the total number of residents and the number of graduate student residents.

These associations are not eligible for funding under the Student Clubs and Organizations line. Funding under this category cannot exceed the total line item amount.

### **6.2.3 Campus Life Awards**

Campus Life Awards are given every year to outstanding students, faculty/staff and organizations on campus in recognition of their accomplishments and services to the campus community. This line shall be used for expenses incurred in giving out GSO Service Awards and support of the ceremony.

### **6.2.4 Legal Clinic**

The Legal Clinic is designed to provide the graduate community of Stony Brook University with free legal counsel throughout the year and assist the GSO Executive Council with any legal matters. The EC shall solicit bids and negotiate the contract with a professional attorney for the clinic. The EC must provide the GSO Senate with the name of the attorney/law firm at the next regularly scheduled Senate meeting along with the terms of the arrangement. A MOU guides the

terms of the contract between the parties. The provider of the service shall be paid under the terms of the contract upon submission of the necessary documentation, including the GSO Services Rendered form and the IRS W-9 form. The GSO does not reimburse students should they decide to hire an attorney to represent them in court.

### **6.2.5 Tax Clinic**

The Tax Clinic is designed to provide the graduate community of Stony Brook University with free one-on-one tax and financial counseling services throughout the tax season. The EC shall solicit bids and negotiate the contract with an accountant/accounting firm for the clinic. The EC must provide the GSO Senate with the name of the accountant/accounting firm at the next regularly scheduled Senate meeting along with the terms of the contract. A MOU guides the terms of the contract between the parties. The provider of the service shall be paid under the terms of the contract upon submission of the necessary documentation, including the GSO Services Rendered form and the IRS W-9 form. The GSO does not reimburse students should they decide to have their tax forms prepared by the accountant.

### **6.2.6 Grants**

These funding lines are intended to provide funds for initiatives that do not fit into any other line item in the GSO's Annual Operating Budget.

#### **6.2.6.1 Named Grants**

A Memorandum of Understanding shall govern the relationship between the GSO and the recipients of named grants. Funds cannot be released from a Named Grant without a Memorandum of Understanding that is publicly available over the GSO website and in appendix A of the ICP.

Memoranda of Understanding must be reviewed by the Rules and Constitution Committee before being approved by the EC. They can be challenged in the Board of Appeals in the case of breach of contract or actions by either party that violate the Constitution/Bylaws at the request of one of the signing parties or by majority vote of the GSO Senate. Memoranda of Understanding may only be revised by a majority vote of the GSO Senate to revise the ICP. The amount of the various grants is to be specified each fiscal year in the Annual Operating Budget of the GSO and cannot be specified in the Memoranda of Understanding.

A list of named grants:

- a) Bicycle Safety (Appendix A.1)
- b) WUSB 90.1 FM (Appendix A.2)
- c) Stony Brook Volunteer Ambulance Corps (Appendix A.3)
- d) Stony Brook Child Care Services (Appendix A.4)
- e) NYPIRG (New York Public Interest Research Group) (Appendix A.5)
- f) Cabaret (Appendix A.6)
- g) University Café (Appendix A.7)

#### **6.2.6.2 Miscellaneous Grants**

A. Individuals and groups wishing to apply for funds from this line must submit a Miscellaneous Grants Funding Request Proposal. The purpose of this line is to provide one time grants to recipients that benefit the graduate student community. A minimum of three people are required to submit each grant application.

- B. The Miscellaneous Grants Funding Proposal shall consist of a completed Miscellaneous Grants Funding Request Form that can be obtained at the GSO office or online, an itemized budget for the grant, sources of external funding, the specific expenses the GSO funding will pay for and all the supporting documentation as per the request of the Treasurer and BC.
- C. The Treasurer reviews requests for funding provided under this category after receipt of a completed Miscellaneous Grants Funding Request Proposal.
- D. All funding requests must be submitted by the deadline stipulated by the BC and be approved by the Senate prior to the date of the event.
- E. The Treasurer shall report all funding requests in this category to the BC and the Senate. The BC will advise the Senate whether or not they recommend funding for the grant and to what level.
- F. The Senate will vote to approve or reject the request as well as will determine the amount of the allocation. The Senate may modify the amount from the BC's recommendation and impose any additional restrictions. Each funding request requires a majority vote of the Senate to be approved.
- G. If approved by the Senate, the money allocated for a grant will be released only after the GSO Treasurer receives the following documentation:
- i. List of the expenses for the grant, with original receipts where available.
  - ii. A summary evaluation of the initiative that includes a narrative describing the initiative, total number of people benefiting from the grant, the number of graduate students benefiting from the grant, the actual costs including original receipts if requested by the Treasurer and the original W-9's for the people who are receiving reimbursement for their services.
  - iii. The Treasurer/Budget Committee may request additional documentation as needed.
  - iv. A signed Memoranda of Understanding if requested by the Treasurer.
- H. Proposals by non-GSO members or organizations must include a signed Memorandum of Understanding between the grant applicant and the GSO to be presented to the Senate.
- I. No more than half of this line may be allocated during Fall semester without a majority vote of the Senate.
- J. If multiple or consecutive grants are required or requested by the same group the grantees must submit a proposal, including a proposed Memoranda of Understanding, to the BC and RCC at the beginning of the Annual Operating Budget process. Upon the signing of the Memorandum of Understanding by the party and the EC and approval of the Annual Budget by the Senate the new grant shall be included in section 6.3.2.1 *Named Grants* and Appendix A.

### **6.3 Program Funding**

Program funding is designed to increase social and educational activities. Program funds will be available to groups of no less than three people who wish to provide events that are well planned, well advertised and of general interest to the graduate student community. The following general rules with respect to event funding must be followed:

- a) Events that do not have a graduate student presence in attendance will not be reimbursed.
- b) Events must be open to all graduate students.
- c) Annual Operating Budget must include a cap for the amount that can be claimed to cover the cost of food.
- d) No cap for individual event funding may be specified in the Annual Operating Budget.

All funding requests must be submitted by the deadline stipulated by the BC and be approved by the Senate prior to the date of the event. The Treasurer reviews requests for funding provided under this category, after receipt of a completed funding request proposal. All events that require a budget proposal require a presentation before the BC as described in **Section 1. The Budget Committee**. Every student or group has the right to appeal the decision of the GSO BC and Senate in the Board of Appeals.

In each request for funding there must be a single individual, designated by the group requesting the funds, who will be responsible for disbursing funds. This person shall be responsible to see that the funds are disbursed in a proper manner as detailed in the request, and that the conditions listed below are carried out as stated. The money (honoraria) to specific individuals (i.e. performers, speakers, etc.) will be disbursed only after receipt of the IRS W-9 form.

Events must be advertised in English. This means that the date, time, location, sponsoring group (including the GSO), description of the event, and title of the event must be in English. Other information included on the advertisement may be in any language.

### ***6.3.1 Departments, Student Clubs and Organizations***

#### ***6.3.1.1 Departmental Allocations***

The GSO encourages departmental activities and programming. This category is provided to departments to enhance the sense of community within each department. Each graduate department may use their allocation for whatever purposes their graduate students as a whole may decide, provided that benefits of these funds are available to all members of the department. Departments at Stony Brook satellite campuses are entitled to the full departmental allocation. Members that exist at two or more campuses may only count towards the total membership of one location. The department allocation amount is specified in the Annual Operating Budget. An application for departmental allocation includes:

- i. A completed GSO Departmental Allocation Form containing signatures from 30% of the total graduate population of the department or 50 students from the department, whichever is less. The form should list the name and ID number of the graduate student designee from the department to oversee the distribution and expenditures of the funds.
- ii. Verification of the number of full-time and part-time graduate students in the department from the Graduate Program Director or the Graduate Program Coordinator.
- iii. Funds be issued as outlined in Section 6.3.1.3.

### **6.3.1.2 Office of Student Activities (OSA) Recognized Clubs and Organizations**

Student clubs and organizations recognized by the Office of Student Activities and GSO are eligible for Student Clubs and Organizations Funds. To be considered a GSO recognized club and/or organization, 50% of the membership, as well as, 50% of the executive council must be graduate students. Apartment Resident Associations are not eligible for student club funding. Clubs formed at Stony Brook satellite campuses are entitled to full club funding. Members of a club that exists at two or more campuses may only count towards the total membership of one club. Requests for funding provided in this category are reviewed by the Treasurer or designee after receipt of a properly completed Student Clubs and Organizations Funding Request Proposal that consists of:

- i. A completed Clubs and Organizations Funding Request Form.
- ii. A signed memo from the association's president to the GSO that includes a brief description including the purpose of the club/organization, a statement of its benefits to the graduate student community, a list of officers and their contact information.
- iii. Signatures of 50% of the current club members or 100 members of the club, whichever is less.
- iv. A current club roster.
- v. The club's constitution with a meaningful equal opportunity clause.
- vi. The form should list the personal information of the graduate student designee from the club/organization to oversee the distribution and expenditures of the funds.
- vii. Funds will be issued as outlined in 6.3.1.3.

Recognition by the GSO also requires regularly conducting meetings and/or events advertised through the GSO listserve and in various other media every semester. All meetings and events must be publicized through the GSO listserve/website at least three business days in advance unless guided by a separate Memorandum of Understanding. The amount of funding a club is eligible to receive is defined in the Annual Operating Budget.

### **6.3.1.3 Disbursement of Funds for Departmental and Club Allocations**

To receive funds for Departmental or Club/Organization Allocations a funding proposal with required documentation including the student signature page, as outlined in 6.3.1.1 for Departmental and 6.3.1.2 for Clubs/Organization must be provided to the GSO Treasurer for approval in advance of the event/purchase. The GSO Treasurer must maintain a written record of all decisions (approval or disapproval) of all received proposals.

Distribution of funds are made at the discretion of the GSO Treasurer. These lines are distributed on a first-come first-served basis. A list of the funded applications will be maintained by the GSO Secretary and will be uploaded to the GSO webpage on a biannual basis by the first day of December and May.

#### **6.3.1.4 Interdisciplinary Discussion/Workshop Groups**

Interdisciplinary graduate student discussion/workshop groups at Stony Brook University are also eligible for Student Clubs and Organizations Funds. Funding from this category cannot be used for events that invite outside speakers/presenters. The groups are eligible for funding only during the first two consecutive semesters of their existence. After that in order to apply for funding under Student Clubs and Organizations line, groups must become officially recognized by the Office of Student Activities, and must apply for funding as stated in section 6.3.1.1. ***Office of Student Activities (OSA) Recognized Clubs and Organizations***. The interdisciplinary discussion/workshop group must have at least two organizers from two separate departments and at least two faculty advisors from two separate departments. In order to apply for funding under this category, the following documentation must be submitted in addition to an Interdisciplinary Discussion/Workshop Group form:

- i. Description of the interdisciplinary nature of the group along with the bibliography of relevant academic literature/materials.
- ii. Roster of participants, including their academic departments.
- iii. Detailed schedule of events/meetings of the interdisciplinary study group, applying for funding, which includes details of the meetings.

The amount of funding from this category is equal to the minimum amount of club allocation, as specified in the Annual Operating Budget of the GSO.

#### **6.3.2 General Cultural and Social Events**

Money from this category is available only to graduate student clubs and organizations recognized by the Office of Student Activities or committees of no less than three graduate students and a faculty advisor formed for the purpose of planning and organizing an event.

A. In the interest of fostering diversity, the events must be open, accessible and understandable to all graduate students. All events must be widely publicized, and event coordinators/organizers must submit (within 3 days of Senate approval) a written description, no more than 250 words, of the event for posting on the GSO website/calendar and/or other campus news outlets. The event date, time and location must be announced at least three business days in advance via the GSO listserv/website. All advertisements must list GSO as a sponsor and display the GSO logo.

B. Graduate students attendants cannot be charged more than the members of the organizing club.

C. Following the event, a brief report describing the highlights of the event and attendance numbers for publication on the GSO website or campus news outlet.

D. The funding request shall consist of a completed Event Funding Request Form that can be obtained at the GSO office or online, an itemized budget of the event, sources of external funding, the specific expenses the GSO funding will pay for and all the supporting documentation as outlined on the form, and shall be submitted to the BC prior to the event during the monthly BC meeting. The maximum amount of funding for any event cannot exceed 15% of the total budget line, however if the organizers receive funding from an external source, BC can suggest matching the external funding for an additional maximum of 4% of the total budget line. In case the event organizers fail to present their request to the BC, the maximum funding

approved by the senate shall not exceed 2% of the total budget line. Events taking place while BC is not in session (summer semester) may submit budgets to the BC for retroactive reimbursement, which requires approval by the Senate. Retroactive reimbursement is not guaranteed

E. No more than 75% of the line may be spent within the Fall Semester. In addition, no more than 150% of the line may be spent during the fiscal year.

F. The Treasurer shall report all funding requests in this category to the BC and the Senate. The BC will advise the Senate whether or not they recommend funding for the event and to what level. In order to request any funding, the Treasurer must be notified of the intent to request funding 24 hours in advance of the Senate meeting.

G. The Senate will vote on whether to approve or reject the request as well as on the amount of the allocation. The Senate may modify the amount from the BC's recommendation, impose any additional restrictions, or reject the funding request. Each funding request motion requires a majority Senate vote to be approved.

H. If approved by the Senate, the money allocated for an event will be released only after the GSO Treasurer receives the following documentation.

i. Original receipts of the expenses for the event. Expenses for which receipts are not available will not be reimbursed. All documentation must be in English in order to receive reimbursement.

ii. A summary evaluation of the event that includes a narrative description of the event, the total number of people in attendance, the number of graduate students in attendance, the actual costs and the original W-9's for the people who are receiving reimbursement for their services.

I. No funds shall be released prior to the event. No more than half of this line may be allocated in each semester without a majority vote of the Senate. Overspending of the line requires two-thirds vote of the GSO Senate.

J. If a group is willing to apply for funding of an event, held after the end of a fiscal year and during the time the GSO senate is not in session (for example, during months of July and August), the Executive Council shall assume the responsibility of the Budget Committee, and the request for funding must be directed to the Executive Council. Executive Council shall determine the recommendation for each proposal and the Senate will vote on the proposal retroactively during the first regularly scheduled GSO Senate meeting of the year. No funds can be released without GSO Senate's approval.

K. No budget request may allocate more than \$350 toward the purchase of food. The total amount reimbursed for food will not exceed \$350 for a sponsored event.

No single prize or giveaway item may exceed \$25. No budget request may be allocated more than \$100 towards the purchase of prizes or giveaway items.

### ***6.3.3 Speaker Series and Conferences***

The rules and procedures for obtaining funds from this category are the same as *Section 6.3.2. General Cultural and Social Events* of the ICP with the exceptions listed below. The definition of a conference or speaker series will be made at the discretion of the GSO Treasurer.

A. (supercedes 6.3.2.D) The funding request shall consist of a completed Event

Funding Request Form that can be obtained at the GSO office or online, an itemized budget of the event, sources of external funding, the specific expenses the GSO funding will pay for and all the supporting documentation as outlined on the form, and shall be submitted to the BC prior to the event during the monthly BC meeting. The maximum amount of funding for any event cannot exceed 10% of the total budget line, however if the organizers receive funding from an external source, BC can suggest matching the external funding for an additional maximum of 2% of the total budget line. In case the event organizers fail to present their request to the BC, the maximum funding approved by the senate shall not exceed 2% of the total budget line. In order to request any funding, the Treasurer must be notified of the intent to request funding 24 hours in advance of the Senate meeting. Events taking place while BC is not in session (summer semester) may submit budgets to the BC for retroactive reimbursement, which requires approval by the Senate. Retroactive reimbursement is not guaranteed

- B. (supercedes 6.3.2.K) No budget request may allocate more than \$350 toward the purchase of food. The total amount reimbursed for food will not exceed \$350 for a sponsored event. In the case of an event spanning multiple days, a Senator may motion to amend the proposed budget request to provide an additional \$150 per day for a maximum of two (2) additional days, totaling \$650.

#### **6.3.4 Resource Access Project (RAP)**

RAP funds are intended to support those graduate students who actively participate in a conference, workshop or professional meeting. Examples of active participation are: presenting a paper, a performance of music or visual arts piece, a presentation of a physical arts piece (i.e. sculpture, painting, etc), or involvement in discussion panels. RAP funding may not result in net monetary gain. RAP funding will not be used to fund travel that fulfills graduation requirements (i.e., travel to thesis proposals, qualifying exams, dissertations defenses, etc.). Eligibility requirements shall be set by the GSO BC and determined on an individual basis by the Treasurer. A student denied eligibility may petition the BC for an appeal. The BC's ruling may only be overturned by a two-thirds vote of the Senate.

- A. When the classes are in session, any student enrolled in a program and paying the Graduate Student Activity fee may apply for funding under this category. During the intersessions, the following rules apply:

- a. After the Spring semester is over and before the end of the fiscal year (June 30), any student who was a registered and fee-paying individual during the Spring semester is eligible for funding.
- b. During the months of July and August the applicant must submit a proof of the registration for the Fall semester to be eligible for funding.
- c. After the end of the Fall semester and before the beginning of the Spring semester, the applicant must submit the proof of registration for Spring semester to be eligible for funding.

- B. The RAP Funding Proposal shall consist of:

- i. A completed RAP application form which can be obtained at the GSO office or online countersigned by the student's academic advisor or the graduate program director. The full name and the contact information of the countersigner

should be included in the form.

ii. The proof of registration for a current semester if the conference took place while the classes are in session or the proof of registration for the semester specified in ICP 6.3.4.A, if the conference took place during the intersession.

iii. Original receipts of the expenses incurred. Supplemental proof of actual expense may be requested by the GSO Treasurer.

iv. Proof of active participation, such as an activity program, concert/exhibition listing, etc.

C.The Treasurer shall process RAP requests, funding each student up to the maximum individual student amount specified in the Annual Operating Budget after submission of the RAP Funding Proposal.

D.The funds shall be disbursed after the program has been completed; no funds are disbursed before the event.

E.If funding is requested to cover partial expenses not paid by another primary funding agency, an official written statement of funds provided and a photocopy of all receipts is required from the agency. Reimbursements for e-tickets will be made only on submission of proof that you boarded the flight (e.g. the original boarding pass stub, baggage claim check, or frequent flyer reports).

F.The total amount of reimbursable individual expenses and expenses for food per day for domestic travel shall not exceed the per diem rates established by U. S. General Services Administration, available at [www.gsa.gov/perdiem](http://www.gsa.gov/perdiem). The total amount of reimbursable individual expenses and expenses for food for international travel per day shall not exceed the maximum of domestic per diem rate established by U. S. General Services Administration.

G.RAP funds are directly tied to a department's senator's attendance at GSO Senate meetings. Only active departments can receive RAP funding. Activity is defined in Appendix G. Departments represented by GSO employees paid through GSO payroll automatically qualify for RAP. The total line amount for RAP in the GSO Operating budget cannot constitute of more than 50% of the total projected income.

H.RAP will not cover lodging requests for overnight stays exceeding the number of days of the conference if the conference is taking place on Long Island, or within the five boroughs of New York City, unless documented extenuating circumstances exist.

I. At the discretion of the Treasurer, RAP funding may be used for academic enrichment programs (i.e., Summer school, CSHL/Woods Hole Courses, etc.).

### **6.3.5 Distinguished Travel Award (DTA)**

A. Is a special line of funding designated to support graduate students, who present their work at prestigious conferences, performances and professional meetings that will contribute to and build the national and international reputation of their departments and the University. This is a competitive award funded by the Graduate School and the Graduate Student Organization. A student may receive this award only once during his/her academic career at Stony Brook University. Award recipients will be reimbursed after their conference/performance, as per the RAP funding guidelines. Award amounts may not exceed \$1500.

B. The application call will be issued twice a year- typically, during the first week of each semester- and will be forwarded to all the departments represented by a GSO Senator.

The application will require the following documents:

a. A written statement of no more than 500 words on the scientific or artistic contribution of the presentation, its impact in the national and international discussion of his/her area of specialty, and the significance of the student's work in the context of the broader field/academia.

b. Curriculum Vitae

c. A letter of recommendation from the student's advisor stating the student's contribution and impact on the field or discipline. The advisor's letter should also speak to the significance and importance of the conference/performance.

d. A letter of recommendation from a Stony Brook University faculty member familiar with the student's work. This person cannot be the student's advisor. Letters may be solicited from faculty members with joint-appointments at Cold Spring Harbor and Brookhaven National Laboratories.

e. An invitation or acceptance letter to the event. This requirement be waived for conferences taking place between the call for applications and the first day of the Spring semester (Fall applications) and June 30 (Spring applications). In such cases, an invitation or acceptance letter shall be required for reimbursement.

f. The signature of the Graduate Program Director confirming that the student has been endorsed by the Graduate Program and that only two students (three students if the Graduate Program, not Department, has more than 200 students) from his/her department have been nominated per application cycle.

g. A completed application form.

C. The applications will be reviewed, and evaluated by the Committee on Academic Affairs and two-three invited faculty members.

D. All funds will be reimbursed following the same guidelines as for RAP (6.3.4). Original receipts are not required during the application process.

E. The student may receive the Distinguished Travel Award only once during his/her academic career. Further, the student is not eligible for RAP funding for the same fiscal year.

#### ***6.3.6 Inter-University Doctoral Consortium (IUDC), Stony Brook Manhattan, Cold Spring Harbor Laboratories, and Brookhaven National Labs***

The purpose of this line item is to subsidize the cost of travel on the Long Island Railroad (LIRR) between Stony Brook and Penn Station, Manhattan for graduate students who are enrolled in a course offered by the IUDC or any Stony Brook University course which regularly meets in NYC.

Commuters to Cold Spring Harbor Laboratory (CSHL) or Brookhaven National Labs (BNL) will be reimbursed for up to 50% of the total costs incurred for their travel using public transportation (such as LIRR or bus services).

- A. At the beginning of every semester students wishing to receive funding from this line must submit an IUDC Enrollment Form including verification of their enrollment in an IUDC course/course meeting in NYC and a schedule of required trips.
- B. Students completing a rotation and/or study at CSHL or BNL must submit a form by the second week of the semester including verification of their rotation/course and a schedule of required trips.
- C. A list of eligible graduate students will be approved by the GSO Treasurer within two weeks after the end of add/drop period. Only those graduate students on the approved list will be eligible for funding from this line. No more than half of the line amount may be spent in the Fall semester.
- D. The total amount of discount will be determined by the Budget Committee based on the total number of requests and the total amount in the line, but not to exceed 50% of the student's cost.
- E. The reimbursements/tickets will be offered to the eligible graduate students on a first come, first serve basis at a discount offered.
- F. This line may not be used to fund travel for events that fulfill advancement to candidacy (i.e., qualifying exams, thesis proposals) or graduation requirements (i.e., committee meetings, dissertations, final performances).

### ***6.3.7 Seminar/Workshops Travel***

The purpose of this line is to subsidize the cost of travel between Stony Brook and New York City for graduate students to attend the workshops, seminars, talks, conferences, and other events alike, taking place in New York City, which are directly related to their field of research. No more than half of the line amount may be spent in Fall semester.

- A. In order to apply for funding from this category, students must submit a NYC Seminar Travel Form, signed by an organizer of the event, verifying the student's attendance of the event, and including the detailed contact information of the event organizers.
- B. Original receipts for purchases associated with travel must be submitted along with the application (gas receipts or LIRR ticket receipts).
- C. The maximum amount of reimbursement shall not exceed the price of the LIRR pre-board round trip peak ticket between Port Jefferson and Penn Station.
- D. The reimbursements are offered to the eligible graduate students on first come, first serve basis.
- E. No student can apply for funding under this category more than four (4) times per semester/summer.

### **6.3.8 Recreation**

Funds from this category are to be used to defray the costs to active graduate students of participation in recreational activities on- and off-campus. Reimbursement of purchases will be made on a first come, first serve basis until the line is exhausted. The Treasurer shall process these requests. No more than half of the line amount may be spent in Fall semester. Students may be reimbursed for the following expenses up to a maximum total of \$150 per fiscal year. Up to \$85 per fiscal year may be used for fitness including, but not limited to, membership to the Recreation Center or memberships to an off-campus gym.

A. Eligibility for fitness-related reimbursements will be determined by the GSO Treasurer.

B. NYC Museums Program: Students may apply for the funding under this category to be reimbursed for attending museums and other institutions which are members of the Museums Council of New York City ([www.museumscouncil.org](http://www.museumscouncil.org)). Donations, paid to the institutions, operating on donation basis (such as Metropolitan, Museum of Natural History, etc.) will not be reimbursed unless an entrance fee is required for a specific exhibition. The travel cost to the institutions will not be reimbursed. The applicant must submit a Recreation Fee Reimbursement Form with the original ticket/receipt. The same applicant cannot apply for funding under this category more than three (3) times per semester/summer.

C. Staller Center Events: Students may apply for reimbursement for Staller Center Events including, but not limited to performances, movies, and the Film Festival. In order to receive reimbursement for events that occur during the winter or summer sessions, the student must provide proof of registration and payment of the Student Activity Fee for the next semester (i.e., for reimbursement for the Film Festival in July, the student must provide proof that he/she is registered and has paid the activity fee for the Fall semester).

### **6.3.9 Educational Programming in International Culture (EPIC)**

The only events that qualify for this line are SBCSSA Full Moon Festival and Chinese New Year's Celebration, and IGSA Freshers' Party and Spring Ball. Because these are annual cultural events of great significance to a large number of graduate students, it has been deemed necessary to create a specific set of rules for these events independent of the General Cultural and Social Events line.

A. Approval of requests from this line requires a 2/3 vote of senators present.

B. No more than 25% of this line may be used on each event.

C. No more than 66% of the money granted for each event may be spent on food/drink.

D. This line may not be overspent.

E. The events funded by this line may not be funded using any other lines that require senate approval.

F. Unless otherwise specified, this line follows all rules specified in 6.3.2.

### **6.3.10 Social Concerns Committee on Social Events and Entertainment Distribution (SCCSEED)**

This line can only be used for events fully programmed and planned by the SCC. This would require budget committee recommendation and EC approval to allocate. Expenses incurred on this line may be prepaid by the Treasurer using the GSO credit card.

- A. No more than 60% of the line may be used in the fall semester.
- B. The events funded by this line may not be funded using any lines that require senate approval.

### **6.3.11 GSO Productions**

This line will fund programming that occurs at the University Café or at another local venue deemed suitably accessible to graduate students (as determined by the SCC). The purpose of this line is to enhance graduate student life. The specific details of the co-operation of events held on campus using this line are detailed in the MOU with FSA.

- A. By the second week of each semester, the Production Director must submit a proposed budget to the GSO Executive Committee for review. Upon approval, the proposal will be signed by the GSO Treasurer, the Production Director and the GSO Productions designee. The Production Director must inform the Treasurer and/or the Productions designee of any changes to the approved budget proposal. At the end of the semester, the Production Director must submit an amended budget reflecting actual costs to the GSO Treasurer. The GSO Treasurer reserves the right to question to any expenses.
- B. No more than 60% of this line may be spent by December 31<sup>st</sup> of each fiscal year.
- C. No more than 30% of this line may be spent per event.
- D. This line may not be overspent.
- E. The events funded by this line may not be funded using any other lines that require senate approval.
- F. Due to the nature of booking performances, checks may be prepared in advance in order to be disbursed immediately following the performance.
- G. Unless otherwise specified, this line follows all rules specified in 6.3.2.

## **Appendices**

### **Appendix A. Memoranda of Understanding**

#### **Appendix A.1 Freewheel Bicycle Collective Memorandum of Understanding**

*Freewheel Bicycle Collective, a recognized graduate student organization, collects and repairs abandoned bicycle and runs a bicycle repair shop on Stony Brook University campus. The Graduate Student Organization (GSO) has agreed to support the Freewheel Bicycle Collective in its mission and financially and administratively aid the organization in the running of its bike shop.*

- A. Funding:
  - a) The GSO agrees to fund the Freewheel Bicycle Collective in one installment equaling its allocation in the GSO Budget for the running of its bike shop.
  - b) At least half of that allocation or \$250 per semester, whichever is less, shall be used to purchase bicycle safety equipment to be distributed to the campus community as the members of the Freewheel Bicycle Collective sees fit. The rest of the funds shall be used in the running of the bike shop.
  - c) Freewheel Bicycle Collective's allocation shall be released after a Freewheel Bicycle representative informs the GSO Secretary of the hours of their bike shop and meeting times.
- B. The GSO agrees to advertise Freewheel Bicycle Collective's bike shop and meetings in GSO publications, websites and regularly on its listserv.
- C. The GSO agrees to support Freewheel Bicycle Collective including but not limited to requests for permanent space, talks with Stony Brook officials, requests for non-GSO funding, the purchasing of bicycle equipment and any other way agreed to by Freewheel Bicycle membership and the GSO.
- D. This Memorandum of Understanding does not preclude or limit Freewheel Bicycle Collective's ability to apply for and receive other forms of GSO funding

#### **Appendix A.2 WUSB 90.1 FM Memorandum of Understanding**

*WUSB 90.1 FM is Long Island's largest non-commercial, free-form community radio station. It has a range of approximately 120 mile, is heard on 2 internet streams worldwide, and is podcasted on the University podcast server. The station is staffed and programmed only by volunteers from the university and community. It offers graduate students an opportunity to train and work at the radio station in various roles. The Graduate Student Organization has been a long time supporter of WUSB 90.1 and a graduate student works with WUSB and Student Media Services as a Graduate Assistant.*

- A. Funding: The Graduate Student Organization (GSO) agrees to release the allocation defined in its budget to WUSB 90.1 FM in one installment at the request of the WUSB.

B. The GSO agrees to sponsor Free Speech Radio News on WUSB 90.1 FM. GSO underwriting of this program will be announced during the program along with the GSO website address.

C. The Graduate Assistant for Media shall serve as an intermediary between the GSO and WUSB 90.1 FM and shall speak at the GSO Senate meetings when requested by the GSO Executive Committee or GSO Senate

D. WUSB 90.1 FM will, at the request of a GSO official or employee, provide aid in creating public service announcements that will air on WUSB 90.1 FM at no additional cost to the GSO.

E. WUSB 90.1 FM will email the times and dates of their informational meeting and training dates during the Fall and Spring semester to the GSO Secretary to be posted on the GSO listserv. WUSB 90.1 FM may request that this email be posted multiple times in order to better advertise its trainings to GSO members

### **Appendix A.3 Stony Brook Volunteer Ambulance Corps (SBVAC) Memorandum of Understanding**

*The Stony Brook Volunteer Ambulance Corps (SBVAC) is a New York State Certified Ambulance Corporation that primarily serves the SUNY Stony Brook University campus in Long Island. SBVAC is certified by Suffolk County to perform emergency response care up to an Advanced Life Support level and is staffed by approximately 80 volunteers and 3 operational ambulances. SBVAC volunteer opportunities and Community Outreach programs are available to GSO members. Volunteer opportunities are available through an application process.*

A. Funding: The Graduate Student Organization (GSO) agrees to release the allocation defined in its budget to SBVAC in one installment.

B. A representative of SBVAC will give a presentation at the GSO Senate meetings when requested by the GSO Executive Committee or GSO Senate

C. SBVAC agrees to collaborate with the GSO and GSO members in its Community Outreach, including Cardiopulmonary Resuscitation (CPR) classes, Alcohol and Drug Awareness presentations, and Teddy Bear Clinics. The GSO agrees to help advertise SBVAC's Community Outreach at the request of SBVAC over its listserv and through other GSO publications and online media.

D. SBVAC will email the times and dates of their community trainings, informational meetings and a link to the SBVAC Probationary Member application during the Fall and Spring semester to the GSO Secretary to be posted on the GSO listserv. SBVAC may request that this email be posted multiple times in order to better advertise its trainings to GSO members

E. Funds will be released at the request of SBVAC.

### **Appendix A.4 Stony Brook Child Care Services Memorandum of Understanding**

*Stony Brook Child Care Services provides day care for pre-school children and toddlers of graduate students. It charges fees on a sliding scale according to family income providing a much needed service to Graduate Student Organization (GSO) members who are also parents as well as offering work and volunteer opportunities. The Graduate Student Organization has been*

*a long time supporter of the Stony Brook Child Care Services and has a representative on its Board of Directors.*

- A. Funding: The Graduate Student Organization agrees to release the allocation defined in its budget to Stony Brook Child Care Services in a single installment.
- B. Stony Brook Child Care Services agrees to send a representative once a year and when requested by the GSO Senate or Executive Committee to speak to the GSO Senate about its services
- C. The GSO agrees to distribute any and all promotional material provided by the Stony Brook Child Care Services from the GSO office and during GSO events and meetings
- D. At the beginning of each semester Stony Brook Child Care Services will send a description of its services through email to the GSO Secretary to be posted on the GSO listserve. Stony Brook Child Care Services may request that this email be posted multiple times in order to better advertise its services to GSO Members
- E. Funds will be released at the request of Stony Brook Child Care Services after the fulfillment of either section B or D.

#### **Appendix A.5 New York Public Interest Research Group (NYPIRG) Memorandum of Understanding**

*NYPIRG is a statewide not-for-profit organization with chapters at SUNY, CUNY and private universities throughout New York State. NYPIRG supplies each chapter with one or two full-time Project Coordinators who oversee NYPIRG programs at that campus. As NYPIRG fee-paying students since 1983, GSO members can earn credit as NYPIRG interns, write proposals for the student Board of Directors, or run for a seat on NYPIRG's Board of Directors. NYPIRG supplements services provided by the university with the educational, tutorial, social, cultural, recreational, and practical services and programs available to GSO students, as directed by their Board of Directors. They also operate a Small Claims Court Action Center that GSO members may take advantage of as counselors or clients, by calling 631-632-6458.*

- A. Funding: The Graduate Student Organization agrees to release the annual allocation defined in its budget to NYPIRG in one installment. Funds will be released after the receipt of a memo from NYPIRG describing what they did up to that point in the semester for graduate students.
- B. NYPIRG shall provide semester reports to the GSO for Executive Council members and interested GSO members. GSO will donate this report, with the above memo, to Stony Brook's Archives and Special Collections. This shall not effect funding.
- C. At the beginning of each year or whenever a new Project Coordinator begins working in the NYPIRG Stony Brook office, they will introduce themselves to the GSO Executive Council (EC) during one of the EC's regular meetings.
- D. A NYPIRG representative will give a report each regularly scheduled GSO Senate meeting about what work they're doing for graduate students at Stony Brook. This report will be given during the Committee Report section of the Senate agenda. If a NYPIRG representative cannot attend the meeting or cannot speak at the meeting for whatever reason a written report will be emailed to the GSO Secretary to be posted on the GSO listserve within one calendar week of the meeting.

- E. A NYPIRG Project Coordinator will serve as a non-voting member of the GSO Elections Committee to provide expertise with publicity, GSO Executive Council candidate searches, and Get Out the Vote efforts during GSO elections. NYPIRG will provide the services of staff, interns, and students during mandatory/voluntary Student Activity Fee referenda.
- F. GSO agrees to help advertise NYPIRG's local and legislative internships, workshops, events, and meetings on its website, in promotional literature, and over the GSO listserve.
- G. NYPIRG agrees to provide a copy of this Memorandum of Understanding to future Stony Brook Project Coordinators and Statewide Campus Supervisors overseeing Stony Brook University.

#### **Appendix A.6 University Café Memorandum of Understanding**

- A. The GSO agrees to sponsor a 2x2x2 Special Offer (2 house beverages and a plate of cheese/fruit/crackers for 2 people for \$2) at University Cafe for the Summer of 2010.
- B. The Special Offer would be provided during summer hours that the Cafe is open from June to August, 2010, approximate 50 days, including Wednesday through Friday late afternoons (about 5 p.m. to 9 p.m.) and World Cup days.
- C. Only individuals who identify themselves as graduate students will receive the Offer (cost to others about \$5 to \$6). One Special per person per day will be allowed.
- D. GSO will receive acknowledgement as the sponsor of this Special Offer for graduate students throughout the summer.
- E. GSO will provide a \$1,000 Grant to the FSA University Café account, to be paid by July 15, 2010.

#### **Appendix B: GSO Publication's Mission Statement**

The Publication is the official newsletter of the Graduate Student Organization and its purpose is two-fold. Its primary role is to promote graduate student participation in University affairs by providing information on upcoming events and programs sponsored by the Graduate Student Organization. As a secondary focus, through graduate student contribution and editorial balance, this publication strives to advance the interests and opinions of the graduate student body by providing a forum for public debate and interdepartmental communication. Publication is committed to affirmative action/equal employment laws and to prohibiting discrimination on the basis of sex, race ethnicity, religion, national origin, age, sexual orientation, disability, marital status, or veteran status.

#### **Appendix C: Oath of Office**

The Oath of Office of the GSO shall be *"I promise to preserve, defend and uphold the GSO Constitution, observe the Bylaws and laws of New York State, and promote the general welfare of the members of the Graduate Student Organization at Stony Brook."*

## **Appendix D: Graduate Student Emergency Loan Fund Policies and Procedures.**

### **D.1. Purpose**

The Graduate Student Emergency Loan Fund (herein after GSELF) was established to provide short term loans to graduate students who are in need of money, on an emergency basis, and who do not have alternative means of obtaining such a loan.

### **D.2. Eligibility**

To be eligible for this loan, the applicant must:

- A. Be a Stony Brook University graduate student registered in the academic session.
- B. Demonstrate financial need due to an emergency.
  - i. The term Emergency includes, but is not limited to, the death of an immediate family member or a medical emergency for the student or an immediate family member.
  - ii. The term Emergency does not include any financial penalty for which the student had prior knowledge. Examples include, but are not limited to, car maintenance, tax payments, and late paychecks.
  - iii. Unexpected administrative delays in paycheck to students who hold graduate appointments from the university such as teaching, research or graduate assistantships will be considered emergencies. Such unexpected delays will not include the usual two week administrative delay in the SUNY system payroll at the beginning of each fall semester.
  - iv. Graduate students who are in their first semester of studies and find themselves in financial difficulties before receiving their first university paychecks may be eligible for GSELF bridge loans, which are explained in the last section of this appendix.
- C. An applicant with an existing balance with the GSELF is only eligible for additional funds if s/he is in good standing with GSELF. To be in good standing an applicant must be in compliance with the repayment procedures outlined in these bylaws.

### **D.3. The GSELF Committee**

- A. The GSELF Committee shall be made up of no more than five (5) members of which at least three (3) are Graduate Student Organization (herein after GSO) senators.
- B. Nominations to the GSELF Committee shall be made directly to the Graduate Student Advocate and/or Executive Council in the May senate meeting each year. GSELF Committee membership shall be approved by a majority vote of the GSO Executive Council. Appointment to the GSELF Committee is for a twelve month term.
- C. Names and contact information of those elected to the GSELF Committee shall not be made publicly available.
- D. The GSELF Committee shall be charged with electing a Committee Chair and Secretary.

- E. The GSELF Committee shall hold monthly meetings at which applicants may appeal the terms of their contract or loan status.
  - i. The Committee shall schedule meetings as close to registration as possible to avoid unintentional disruption to students' academic careers due to holds on accounts with at least one (1) meeting prior to registration.
  - ii. A copy of the GSELF Committee schedule shall be posted on the GSELF website (<http://sbgsso.org/node/6>) as well as distributed to each applicant at the time the loan is granted, unless the loan application is completed electronically.
- F. The GSELF Committee shall be charged with organizing communication of appeals decisions.
- G. The GSELF Committee shall be responsible for organizing record-keeping of application and appeals materials.
- H. In the event that a large number of appeals are filed at one time, or a specific case warrants it, the GSELF Committee will be empowered to hold an emergency meeting to address these issues.
- I. The Graduate Student Advocate (here after referred to as the GS Advocate) and/or GSELF Committee Chair shall report to the GSELF Committee on: category, number and approval rate of applications on a monthly basis.

#### **D.4. Amount of Loan**

The amount of the loan shall not exceed \$2,000 over a twelve month period, and the total number of approved loans one may receive shall not exceed five (5). In the case of delayed paycheck due to unexpected administrative errors a loan equal to the take-home pay of the applicant for one pay period shall be available (with a cap of \$800).

#### **D.5. Loan Procedure**

The following process shall be followed to obtain a loan:

- A. The applicant shall submit a request for a loan to the GS Advocate or the GSELF Committee Chair, either in person or via email. The applicant must submit a completed application form (see sample application form). Further information, such as receipts, may be required from the applicant by the GSELF Committee at a later date, in order for the applicant to remain in good standing.
- B. In the case of unexpected delay in paycheck loan applicant must provide each of the following items:
  - i. a copy of their appointment letter including pay rate
  - ii. a letter from their department chair, program head, or graduate secretary, verifying their appointment as a teaching assistant, research assistant or graduate assistant.
  - iii. The 2 week usual administrative delay in the SUNY system payroll does not qualify as an unexpected delay in paycheck release.
- C. The GS Advocate and/or GSELF Committee Chair shall determine if the student qualifies for the loan based on the above eligibility guidelines.
  - i. The GS Advocate and/or GSELF Committee Chair may alter the amount of loan if deemed appropriate and seconded by a GSO Executive Officer.
  - ii. The GS Advocate and/or GSELF Committee Chair may consult with the GSELF committee if s/he is unsure about the eligibility of a loan application.

D. In the event that the GS Advocate and/or GSELF Committee Chair approves the loan, s/he will sign the application and secure a second signature from a GSO Executive Officer. If a GSO Executive Officer approves the application, then the applicant and Custodial & Disbursing (fiscal) Agent (herein after C&D Agent) will be notified. The applicant must then contact the C&D Agent to sign the appropriate promissory note (see sample promissory note) and promptly obtain their loan check. At the time of application, the applicant may obtain a packet including information on counseling on campus, the Teacher's Federal Credit Union (herein after TFCU) and other loan bearing institutions and a schedule of GSELF Committee meetings from the GSELF Committee Chair of the GS Advocate. If a GSO Executive Officer does not approve the application, then the applicant must go through the Loan Appeal Procedure as dictated below (Section D.6.)

E. Once the loan check has been issued, the amount will automatically be posted as a charge to the applicant's People Soft Student Financial Customer Account, creating a Bursar Service Indicator (herein after BR)3. This will result in an immediate hold on transcripts, diplomas and enrollment, plus the addition of automatic late fees if the loan is not fully repaid after three months. If the applicant is in good standing with the GSELF committee, the service indicator will automatically be changed to BR2 (hold on transcript and diploma only) and all late fees accrued within three months of the loan date will be waived.

F. Application processing should be completed as quickly as possible.

G. In the event that the GS Advocate and/or GSELF Committee Chair declines the loan, the applicant shall then be informed that they can appeal to the GSELF Committee and provided with access to an appeal application and an appeal number, if applicable.

#### **D.6. Loan Appeal Procedure**

If the GS Advocate and/or GSELF Committee Chair declines the loan application, the applicant may contact the GSELF Committee via the GSELF Committee Chair in writing (e-mail is acceptable) using the appeal application form. The applicant shall provide the committee with additional financial justification that warrants the reconsideration of the loan application, including supplemental paperwork if applicable. If a minimum of three (3) GSELF Committee members approve the loan application, the Chair will sign the appeal form and follow the loan approval procedure outlined in **D.5. Loan Procedure, paragraph C** to grant the loan. If the Appeal is approved by the GSELF Committee, a GSO Executive Officer shall sign the appeal form. If the Committee declines the appeal application, the loan will not be granted. If the Committee requests additional information the applicant will be required to attend a GSELF Committee meeting with all available and pertinent information. Any denied application can only be appealed once; that is, applicants can only go through the appeal process once.

#### **D.7. Repayment Procedure**

A. The loan should be fully repaid by the applicant within a period of three (3) months.

B. Two months after the date of the loan, the GSELF committee will send a letter or email to the applicant indicating that full loan repayment is required in one month (see sample two-month letter).

C. The applicant can repay the loan by making payments to their student account via the Bursar's office. Any payments made to the applicant's student account, including scholarships or student loans, will automatically be applied to the balance of the GSELF loan.

D. The applicant may appeal the terms of the loan at any time during the loan period by attending a monthly GSELF Committee meeting with all appropriate documentation of their case. The applicant may also file an appeal application via email to the GSELF Committee Chair or GS Advocate, but the GSELF committee maintains the right to request that the applicant attend a monthly meeting for an appeal hearing.

E. In the event that the loan is not repaid by the three month deadline outlined in the promissory note, the applicants' Bursar status will automatically return to BR3, resulting in a hold on transcripts, diplomas and enrollment, plus the addition of automatic late fees. The applicant may also be subject to collection action by the Bursar's office.

#### **D.8. Repayment Appeal Procedure**

In the event of partial repayment or additional time requirements, the applicant may appeal the block on their account and addition of late fees to their balance to the GSELF Committee by appearing at a monthly meeting with all appropriate documentation of their case. If a majority (3 members) of the GSELF Committee finds the documentation sufficient, the Committee may alter the terms of the loan contract by lengthening the repayment period, reducing minimum payments, or removing part or all of any late fees incurred, and reducing the block on the student's account to BR2.

#### **D.9. Bridge Loans**

Graduate students who are in their first semester of studies with graduate appointments from the university are notified upon acceptance that delays will exist between the beginning of the course of studies and the first paycheck received, therefore such delays do not qualify as unforeseen. Given the extreme financial needs that some students have to endure upon their arrival to Stony Brook University the Graduate Student Organization established the GSELF Bridge Loans for newly admitted students, these loans are limited by \$20,000 and will be given in a first-come first-served basis. Rules and Procedures of the Bridge loans are similar to the GSELF emergency loan fund with the following exceptions:

- A. Students that come from countries or regions with natural disasters, war or severe economic emergency or foreign exchange restrictions that will prevent them to bring and/or transfer funds for their first weeks of studies are a clear example of qualifying applicants.
- B. International Students are required to provide documentation of the source of funding for their education to the university as part of the request for certificate of eligibility for F-1 or J-1 status. In order to better assess their specific situation, international students may be asked to authorize International Services to release information on their documented sources of financial support to the GSELF committee to assist in making a decision on the circumstances of their application. The student may be required to meet with an adviser from International Services for guidance.

- C. Loan applicant must provide a copy of their appointment letter including pay rate and a letter from their department chair, program head, or graduate secretary, verifying their appointment as a teaching assistant, research assistant or graduate assistant.
- D. The amount of the loan shall not exceed \$600.

### **Appendix E: Budget Process Timeline**

1. Between February and March Senate meetings: The requests for information are distributed to groups specified in Section 2.B.1 of the ICP.
2. March Senate meeting: Information from these groups is due.
3. Between March and April Senate meetings: Weekly meetings of BC to review and propose changes to the Budget.
4. EC evaluation and recommendations.
5. April Senate meeting: Budget reviewed by the Senate. Executive committee may recommend the budget as is, or suggest changes.
6. Changes made to the Budget based on Senate comments/questions, or any new information/proposals received by the Budget Committee.
7. May Senate meeting: Budget is approved by the Senate. If Senate fails to approve the Budget, the procedures outlined in Article 2 of the ICP must be followed.

### **Appendix F. Statement of Fiduciary Responsibility**

In order to maintain a responsible and open stewardship of the Student Activity Fee, each member of the Executive Council has a fiduciary obligation to utilize the utmost good faith and act in the best interest of the Graduate Student Organization (GSO).

A member of the Executive Council may not participate in any deliberations or vote on any matter relating to current or proposed Organization or personal business in which s/he has a direct or indirect interest in another entity, and that entity enters into a transaction with GSO. Direct or indirect interest includes any legal, equitable or fiduciary interest or position in such entity. Due to the proscribed nature of the relationship between the GSO and its fiscal agent, FSA, membership on the Board of Directors of the fiscal agent is specifically excluded from this document.

Executive Council members having a direct or indirect financial interest that could create a conflict of interest with any Organization or personal agreement, transaction, or relationship, shall disclose that interest to the Executive Council. The remaining Executive Council members shall determine whether the member may participate in the deliberations or vote on the issue. Any potential conflicts of interest that are disclosed to the Executive Council must be disseminated to the GSO Senate and published along with the minutes from the Executive Council meeting in which the conflicts of interest were raised.

No member of the Executive Council shall accept compensation of any sort from a person, organization, or corporation who has a financial relationship with GSO.

I have read the above policy and agree to abide by its provisions.

Name (print)

(Signature)

---

Date

## **Appendix G. Department Activity**

All departments are considered active before the first GSO Senate meeting of each academic year. After the meeting every departments activity is dependent on its senator's certification status.

- A. The senator will lose his/her certification if he/she has missed two out of the last three GSO Senate meetings.
- B. The GSO secretary will send a notice to the senator if it is in danger of losing its active status.
- C. Alternate senators vote in place of primary senators, if the primary senator can not attend a Senate meeting. Alternate senator attendance counts as primary senator attendance for the meeting.

## **Appendix H. Whistleblower Policy**

Statement: It is the policy of the Company to protect from retaliation employees who report any activity that he/she considers to be illegal or dishonest.

Procedure:

1. A whistleblower as defined by this policy is an employee of the Graduate Student Organization who reports an activity that he/she considers to be illegal or dishonest to one or more of the parties specified in this Policy.
2. Examples of illegal or dishonest activities are violations of federal, state or local laws; billing for services not performed or for goods not delivered; and other fraudulent financial reporting.
3. The whistleblower is not responsible for investigating the activity or for determining fault or corrective measures; appropriate management officials are charged with these responsibilities upon notification.
4. If an employee has knowledge of, or a concern about, illegal or dishonest activity, the employee should report the activity.
5. The employee may report the activity by using some anonymous method such as a letter, phone call, fax or email to any member of the management team, his/her immediate supervisor or the Director of Human Resources.
6. The employee should exercise sound judgement to avoid baseless allegations. An employee who intentionally files a false report of wrongdoing will be subject to disciplinary action.
7. Whistleblower protections are designed to provide confidentiality and safeguard against retaliation.
8. Insofar as possible, the confidentiality of the whistleblower will be maintained. However, identity may have to be disclosed to conduct a thorough investigation, to comply with the law and to provide accused individuals their legal rights of defense.
9. Except for an employee who intentionally files a false report of wrongdoing, the Company will not retaliate against a whistleblower. This includes, but is not limited to, protection from

retaliation in the form of an adverse employment action such as termination, compensation decreases, or poor work assignments, etc.

10. The right of a whistleblower for protection against retaliation does not include immunity for any personal wrongdoing that is alleged and investigated.

11. Any whistleblower who believes he/she is being retaliated against must contact the Director of Human Resources immediately.

12. All reports of illegal and dishonest activities will be promptly submitted to the Director of Human Resources who is responsible for investigating and coordinating corrective action.

13. Employees with any questions regarding this policy should contact the Director of Human Relations.

Amended December 2010

Amended May 2010

Amended October 2011

Amended February 2012

Amended April 2012