NTSA Richard Ford Volunteer Service Award
Purpose and Organization
2021 Award Terms and Conditions as of 3.3.20

1. AWARD FOUNDATION
1.1. Award Name. NTSA (National Tax-Deferred Savings Association) Richard Ford Volunteer Service Award (FVSA).
1.2. Award Purpose. The NTSA Richard Ford Volunteer Service Award honors and promotes NTSA members’ volunteer and service work in two areas: both with NTSA in their tax-exempt retirement industry markets and also with the member’s own nonprofit and/or governmental communities. This NTSA Award evidences to the retirement industry, tax-exempt and nonprofit communities, as well as clients and their supporting parties, that the excellence and social responsibility represented by NTSA members enhances their unique partnerships.
   a. Volunteerism. NTSA standing committees and projects, through the NTSA member’s donation of time and talent.
   b. Service. Community and/or Government Service, either locally or nationally, through the NTSA member’s donation of time and talent.
1.3. Award History. The Award is established in honor of the unique, lifelong volunteer efforts of Richard Ford, a lively and dedicated NTSA volunteer for its whole life, in the 30th anniversary year of NTSA. Ford was an extraordinary community volunteer and promoter as well. NTSA Officers, on behalf of the Association and in unanimous conjunction with the NTSA Leadership Council, established this Award in 2019, following the untimely passing of Ford. As Chief Marketing Officer for PlanMember Financial Corporation, a leading NTSA Strategic Partner, Ford also created, implemented and promoted the PlanMember “Make a Difference” Annual Award.
1.4. Award Judging Committee (AJC)
   a. Naming. The AJC is named by NTSA Management Council (MC) and the NTSA Executive Director, upon recommendation of the NTSA Awards Committee.
   b. Number. The AJC consists of a minimum of three members, plus a Chair.
   c. Term. Generally, the term of AJC service is for three years, with no more than two new AJC members each year.
   d. Composition. The AJC is representative of the NTSA universe; as well, all AJC members have both significant NTSA volunteerism and a personal commitment to local and/or national community and/or government service. Representation includes:
      1. PlanMember / Strategic Partner (SP) senior representative, an NTSA member
      2. NTSA Elite Advisor (EA) / financial advisor professional / SP, an NTSA member
      3. TPA / technical professional / SP, an NTSA member
      4. NTSA member, representing the MC, as Chair
   e. Committee Responsibility. The responsibilities of the AJC, initially and annually, are to:
      1. Establish and Review Logistics.
      2. Plan and Encourage the FVSA Nomination Process.
      3. Oversee and Effect the NTSA Member Nominee Application Process.
      4. Build and Enable the Nominee Volunteer and Service Verification Process with verifiers / supervisors from NTSA volunteerism and local governmental / community service.
   f. Meetings. The AJC meets via conference calls, generally set up by ARA staff, though the calls need not be staffed. As necessary, the AJC Chair will take notes and collaborate on deliverables. The Award Review Period conference calls are mandatory.
1.5. Confidentiality. All AJC deliberations, paperwork, communications, etc., are strictly confidential to the AJC.

2. LOGISTICS PERIOD: Setting Up and Reviewing the System.
   a. Concept. 2019 Approval by NTSA Officers, Management Council (MC), Leadership Council (LC); Announcement to and acceptance by ARA Board and NTSA SPs.
   b. Terms & Conditions. Determine and Review Quarterly in inaugural year. Review Annually with the Post-Award Update.
2.2. Promotion Plan.
   a. Survey. Annual NTSA Member Engagement Survey of Community Service Responsibility (CSR), generally 2 – 3 months before FVSA annual process.
   b. NTSA Stories Preparation. Solicit NTSA and Community Service Stories by AJC & LC members.
   c. NTSA Advisor Article Series & NTSA Social Media. NTSA Stories from Sections 2.2. a. and b.
   d. Announcement. NTSA SP representatives with flyer for their distribution.

2.3. Monitoring. Oversight process: Inaugural Year: one month after Nomination Period begins, one month after Application Period begins, one month after Award Presentation; thereafter, annually, during Post-Award Update.

2.4. Process Overview.
   a. Nomination. ARA member nominates via the Nomination Form, including quantitative contact information and qualitative Volunteer Service Story (50 – 150 words) from the Nominator’s unique perspective, with approval for publication.
   b. Application. Nominee completes Application Form, including qualitative information about NTSA Volunteer works & Community and/or Governmental Service works, together with qualitative Volunteer Service Story(ies) (50 – 150 words) from the Nominee’s unique perspective, regarding their NTSA volunteerism and their community and/or governmental service works, locally or nationally, with approval for publication.
   c. Verification. Supervisors or Colleagues of the member’s NTSA volunteer and community and/or governmental service works complete the Verification Form, including confirmation of quantitative information about the Nominee’s NTSA Volunteer works and Community and/or Governmental Service works. Then they add their own qualitative Story(ies) about the Nominee’s Volunteer Service Story (50 – 150 words) from the Supervisor’s or Colleague’s unique perspective, with approval for publication.
   d. Award Selection. The AJC reviews all Forms’ submissions, determines any additional steps like interview(s) with the interested parties, and selects Awardees.
   e. Announcement. Promotion. Awardees’ volunteer and service works are promoted, with possibility for donation solicitation at the NTSA Annual Meeting / Summit.

   3.1. Nomination Year. Year preceding the Nomination Process.
   3.2. Award Year. Year of Award Announcement, generally, the year following the Nomination Year.

3.3. Nominators.
   a. Eligible Nominator.
      1. Any ARA Member by virtue of their ARA divisional membership;
      2. Especially, NTSA SP Designated Points of Contact, Advocacy Representatives and Colleagues, NTSA Chairs & Vice Chairs of NTSA standing committees and projects, and NTSA member managers.
   b. Ineligible Nominator. AJC members in the Nomination and Award Years; self-nomination.

3.4. Nominees.
   a. Eligible Nominee.
      1. NTSA Member in good standing,
      2. In compliance with ARA Code of Conduct.
      3. NTSA Advisor Member must be in good standing with FINRA & SEC, with advisor affirmation of good standing with state insurance regulators in which advisor registered.
      4. Other NTSA members: affirmation by supervisor, if other than nominator, may be requested.
   b. Candidate Nomination Criteria.
      1. NTSA Membership for three years, including Award Year.
      2. During the Nomination Year:
         NTSA Volunteerism and Community and/or Governmental Service:
         Minimum 10 hours for each entity in a recent annual time period, to be determined, and preceding their nomination.
      3. Previous to the Nomination Year, and in the last one (1) to five (5) previous calendar years:
         NTSA Volunteerism and Community and/or Governmental Service:
         Minimum of 20 hours for each entity in the entire time period of volunteering and serving within the last one (1) to five (5) years.
   c. Ineligible Nominees. NTSA FVSA AJC in Nomination and Award Years.
3.5. Nomination Period.
   a. Nomination Solicitations. ARA, NTSA, NTSA SPs.
   b. Timing. Generally, four (4) to eight (8) weeks, at the discretion of the AJC.
   c. Nominator Forms. Nominations can be made singly or in a group, using the Nomination Forms developed for this purpose by staff and approved by the AJC.
   d. Nominee Announcement. NTSA Member Nominees are notified within one week of nomination. Non NTSA member Nominees are solicited by staff for NTSA affiliate membership for this and other NTSA member benefits, within one month of receipt, with copy to the Nominator and AJC.
3.6 Creation and Finetune.
   a. Nomination Form.
      1. Quantitative: Nominator and Nominee contact information.
      2. Qualitative: Story (50 – 150 words) from Nominator perspective about Nominee Volunteerism and Service (with public use approval).
   b. Solicitation Emails. by known NTSA names, with follow-ups by AJC.
   c. NTSA Advisor Series. Award information and explanations, including NTSA Volunteer and Service Stories.
   d. Flyers. NTSA Strategic Partners & Standing Committees.
3.7 Promotion.
   a. Target Sectors.
      1. NTSA Standing Committees and Projects
      2. NTSA Strategic Partners
      3. Community and/or Governmental units evidenced in NTSA Member Corporate Service Responsibility (CSR) outreach survey.
   b. Outreach Formats.
      1. Email Series.
      2. SP & Standing Committee Flyers.
      3. NTSA Advisor weekly series.
      4. Emails with follow-ups.
      5. Social Media to NTSA members.
4. APPLICATION PERIOD: NTSA Member Application Process.
4.1. Application Contents. For each aspect of NTSA volunteerism and, similarly, for community and/or governmental service, quantitative and qualitative information; for Nomination Year – with ethics, good standing and accuracy statement at end.
   a. Quantitative. for each segment, details of Nominee’s volunteer organization(s), topic/project description, hours worked, role (NTSA = Standing Committee, Project, PAC, etc.).
   b. Qualitative. Nominee Story. Who is Served? How are they served? Why do you serve? What results have you seen? (50 - 150 words) with public use approval
4.2. Application Period.
   a. Application Solicitations. To Nominated NTSA Members.
   b. Timing. ARA Staff sends within one week of Nomination receipt.
4.3. Application Timing. Due generally within two weeks of Nomination notification by staff.
4.4. Nominee Input. Electronic submission to ARA staff; staff sends summary to AJC weekly.
4.5. Creation.
   a. Application Form.
      1. Quantitative Nominator and Nominee contact information, as well as Nominee Volunteer and Service information.
      2. Qualitative Story (50 – 150 words) from Nominee perspective about Nominee Volunteerism and Service (with public use approval).
   b. Email and Concurrent Volunteer Call to Announce Nomination with Application Solicitation. To Nominee, cc: Nominator &/or Supervisor.
   c. Email and Concurrent Volunteer Call follow-up. To Nominee, cc: Nominator and/or Supervisor; Weekly until received; calls enabled by AJC.
4.6. Promotion.
   a. Target Sectors. Nominated NTSA Members.
   b. Outreach Formats.
      1. Email Announcement and Application Solicitation; cc: Nominator and/or Supervisor.
      2. Emails with follow-ups every Monday and Thursday until Application received.
      3. Social Media to members in similar cadence.

4.7. Monitoring. Oversight process: Inaugural Year: one month after Application Period begins; thereafter, annually, during Post-Award Update.

5. VERIFICATION PERIOD: NTSA Volunteer and Governmental / Community Service Confirmation Process.
   5.1. Verification Contents. Confirmation of Quantitative Nominator and Candidate content, with allowance for possible expansion on Application details.
   5.2. Verification Input. Addition of Qualitative Content: Story of 50 – 150 words about the impact of Nominee’s works of time and talent from the perspective of the particular Supervisor or Colleague.
   5.3 Verification Timing. Sent out to Volunteer and Service Supervisor or Colleague by staff, on behalf of the Nominee, generally within one week of Nominee Application receipt. Generally receipt is requested within one week.

5.4. Creation.
   a. Two (2) Candidate Volunteer and Service Verification Forms. NTSA Volunteer Supervisor or Colleague, Community and/or Governmental Service Supervisor or Colleague (with public use approval).
   b. Email and concurrent Volunteer Call for submission. To Supervisor or Colleague cc: Nominator & Nominee; calls enabled by AJC.
   c. Email and concurrent Volunteer Call follow-up. To Supervisor or Colleague cc: Nominator & Nominee; calls enabled by AJC.
   d. Email acceptance & next steps. To Candidate, Nominator & Supervisors.

5.5. Promotion.
   a. Target Sectors. Two (2) Overseers, one each from FVSA Candidate’s NTSA Volunteer works and another from FVSA Nominee’s Community / Governmental Service works.
   b. Outreach Formats.
      1. Email Announcement and Verification Solicitation; Two (2): one (1) for each aspect of FVSA Nominee NTSA volunteerism and community and/or governmental service.
      2. Email with follow-ups every Monday and Thursday until Verifications received.


   6.1. Forms’ Content Consolidation. ARA staff prepares a master Excel spreadsheet of Applications, both Quantitative and Qualitative, that includes all Nominator, Nominee and Verifiers information. Then ARA staff prepares additional specialized, focus spreadsheets for the various stakeholders, FVSA AJC, and the various creators of NTSA Advisor, Press Release and brochures – that includes only the information they need for their particular task.
   6.2. AJC Review Individually. Each AJC member individually and without consultation or collaboration, rates each Nominee on several qualitative items of submission: Nominator Story, Nominee Story(ies), NTSA Volunteer Works Verifier Story(ies), Community and/or Governmental Service Verifier Story(ies), past volunteer and service works, plus quantitative aspects of volunteer and service works, rating on a scale of 1 – 4, using a common Scoring Form prepared by ARA staff. Thus, scores for each Nominee per AJC member range from 6 to 24, based on having three (3) members on the AJC.
   6.3. AJC Review Summary. ARA staff prepares summary numerical conclusions for each of the Candidates, using the common Summary Form. Summation scores range from 18 to 72, based on having three (3) members on the AJC.
   6.4. AJC Review & Decision. It is intended that there not be a single awardee annually, but, rather that multiple, diverse individual awardees be honored.

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6.5. **AJC Phone Interviews.** The need for Nominator, Nominee and/or Verifier interviews may be considered by the AJC. These are optional, but if indicated for all the final Nominees, and potentially their Verifiers, there may be an interview process, engaged in by the entire AJC and Chair simultaneously. There may be 2 – 4 standard questions, followed by individually-indicated 1 – 3 clarifications. If so, an additional twenty-seven (27) points can be added to each Nominee’s summation, based on this optional aspect of the review, with each AJC having up to nine (9) points to add separately and confidentially to the Nominee’s total, based on having three (3) members on the AJC.

7. **AWARD ANNOUNCEMENT PERIOD: Promotion Process.**

7.1. **Notification.** The FVSA Awardees are notified; cc: Nominator and Verifiers

7.2. **Recognition.**
   a. **Press Release.** nationally and provided for local press, sensitive to national and/or local volunteer recognition initiatives.
   b. **Recognition.** at NTSA Annual Summit Awards Luncheon, including taping of their acceptance speech.

7.3. **Responsibilities.**
   a. **Presentation.** NTSA Annual Summit,
   b. **Participate.** Elite Advisor Council (EAC) WOWcast interview, including their taped acceptance speech.
   c. **Cooperate.** NTSA Story(ies) for live presentation and archives.

7.4. **Creation.**
   a. **Nominee Press Release.**
   b. **NTSA Advisor Series.**
   c. **Awardee Letter from NTSA Executive Director.** cc: Nominator, Verifies and SP, if appropriate.
   d. **Personalized Recognition.** Presented at the NTSA Annual Summit.
   e. **Potential Collection.** for Donation to Awardee’s local Community and/or Governmental Service during NTSA Summit presentation time period

7.5. **Promotion.**
   a. **Target Sectors.**
      1. NTSA Standing Committees and Projects.
      2. NTSA Strategic Partners.
      3. Community and/or Governmental units involved in process.
      4. ARA advocacy and public relations.
   b. **Outreach Formats.**
      1. Email Series.
      2. SP & Standing Committee Flyers.
      3. NTSA Advisor weekly series.
      4. Social Media
      5. Emails with follow-ups.

7.6. **Monitoring.** Oversight process: Inaugural Year: one month after Award Announcement Period begins; thereafter, annually, during Post-Award Update.
# Award Nomination Timetable

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