

NTSA RICHARD FORD VOLUNTEER SERVICE AWARDS (FVSA)

2022 Awards Terms and Conditions

Including Purpose and Organization

Amended and Effective February 1, 2021

1. AWARDS FOUNDATION

1.1. Awards Name.

NTSA (National Tax-Deferred Savings Association) Richard Ford Volunteer Service Awards (FVSA). NTSA is a Division of Membership of the American Retirement Association (ARA).

1.2. NTSA FVSA Awards Purpose.

The NTSA Richard Ford Volunteer Service Awards honor and promote NTSA members' volunteer and service work in two areas: both with NTSA in their tax-exempt retirement industry markets and with the member's own non-profit Community. These NTSA Awards evidence to the retirement industry, tax-exempt and non-profit communities, as well as to 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, in ways that are extraordinary, unique and valuable.

b. **Service.** Community Service, either locally or nationally, through the NTSA member's donation of time and talent, in ways that are significant, innovative and meaningful.

1.3. NTSA FVSA Awards History.

The Awards are 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 these Awards 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.

Three (3) outstanding NTSA members received the inaugural Richard Ford Volunteer Service Awards at the 2020 NTSA Summit, and three (3) more deserving Awardees earned such recognition in 2021.

1.4. NTSA FVSA Awards Judging Committee (AJC)

a. **Naming.** The FVSA AJC is named by NTSA Management Council (MC) and the NTSA Executive Director, upon recommendation of the NTSA Awards Committee.

b. **Number.** The FVSA AJC consists generally of up to five (5) representative members.

c. **FVSA Leadership.** The Chair and Senior Advisor collaborate and lead. They are not members of the AJC, and, as such, do not vote and abstain themselves from collaborations as necessary.

d. **AJC Term.** Generally, the term of FVSA AJC service is for three (3) years, with no more than three (3) new AJC members each year, as practical.

e. **AJC Composition.** The FVSA AJC is representative of the NTSA universe as members; as well, all AJC members may have both significant NTSA volunteerism and a personal commitment to Community service. Representation may include, subject to NTSA MC approval:

1. PlanMember / Strategic Partner (SP) senior representative (AJC #1)

2. NTSA Elite Advisor (EA) / financial advisor professional (AJC #2)

3. TPA / technical professional (AJC #3)

4. Prior FVSA Awardee (AJC #4)

5. NTSA LC member, or designee (AJC #5)

f. **AJC Responsibilities.** Initially and annually, are to:

1. Establish, Review and Improve Logistics.

2. Plan, Encourage and Improve the FVSA Nomination Process.

3. Oversee, Effect and Improve the NTSA Member Nominee Application Process.

4. Build, Enable and Improve the Nominee Volunteer and Service Affirmation Process for NTSA volunteerism and local Community service.

5. Draw Up, Proctor and Improve the Awards Process.

6. Create, Promote and Improve the ARA and Public Announcement Process.

g. **AJC Meetings.** The FVSA AJC meets via audio or video conference calls, generally set up by ARA staff, though the calls need not be staffed. As necessary, the FVSA AJC Chair takes notes and collaborates on deliverables. The FVSA AJC has the power to amend and improve various aspects of the process, as appropriate. The Awards Review Period conference calls are mandatory.

h. Confidentiality. All FVSA AJC deliberations, paperwork, communications, etc., are strictly confidential to the FVSA AJC.

2. FVSA AWARDS LOGISTICS PERIOD: Setting Up and Reviewing the System. Led by Chair & Senior Advisor

2.1. Create and Fine-tune.

- 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 and Conditions.** Determine and Review Quarterly in inaugural year. Review Annually with the Post-Awards Update.
- c. Forms and Communications.** Build and Enhance Quarterly in inaugural year. Review Annually with the Post-Awards Update.

2.2. Promote.

- a. NTSA Member Survey.** Annual NTSA Member Engagement Survey of Community Service Responsibility (CSR), generally 2 – 3 months before FVSA annual process, intended for branding and to solicit participation. “Where do you give back? How are you responsible within your Community?”
- b. NTSA Stories Preparation.** Solicit NTSA and Community Service Stories by AJC, LC and EA NTSA members.
- c. NTSA Advisor Article Series & NTSA Social Media.** NTSA Stories from Sections 2.2. a. and b.
- d. Announcement.** NTSA SP and ARA representatives with virtual and/or physical items for their distribution.

2.3. Monitor.

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-Awards Update.

2.4. Entire Process Overview.

- a. Nomination.** ARA affiliated member, i.e., member of ASEA, ASPPA, NAPA, NTSA, and/or PSCA, nominates via the Nomination Form, including quantitative contact information and qualitative Volunteer Service Story(ies) / anecdote(s) in 50 – 150 words, from the Nominator’s unique perspective, with approval for public use. For the 2020 – 2022 Nomination Periods, Nominators are encouraged to add any pandemic related stories of volunteer service, as applicable.
- b. Application.** Nominee completes Application Form, including quantitative information about NTSA volunteer works & Community service works, together with qualitative volunteer service Story(ies) / anecdote(s) in 50 – 150 words, from the Nominee’s unique perspective, regarding their NTSA volunteerism and their Community service works, locally or nationally, with approval for publication. For the 2020-22 Nomination Periods, Nominees are encouraged to add any pandemic related stories of volunteer service, as applicable.
- c. Affirmations.** Supervisors or Colleagues of the member’s NTSA volunteer and Community service works complete the Affirmation Forms, adding their own qualitative Story(ies) / anecdote(s) about the Nominee’s Volunteer Service in 50 – 150 words, from the Supervisor’s or Colleague’s unique perspective, with approval for publication.
- d. Awards Selection.** The AJC reviews all information received, determines any additional steps like interview(s) with the interested parties, and selects Awardees.
- e. Announcement. Promotion.** Awardees’ volunteer and service works are promoted through Experience Stories, audio and video events, etc. There is a donation solicitation for their Community non-profit organization at the NTSA Annual Meeting / Summit. NTSA contributes a minimum of \$250.00 to the Awardees’ prime Community service non-profit organization.

3. FVSA AWARDS NOMINATION PERIOD: Awards Nomination Process. Led by AJC #1

3.1. FVSA Nomination Year.

Year during which the Nomination Process happens.

3.2 FVSA Service Year.

Generally, the year before the Nomination Process.

3.3. FVSA Awards Year.

Year of Awards being honored, generally, the next NTSA Annual Meeting / Summit at that Awards Luncheon.

3.4. Nomination Administration.

At least two weeks before any Nomination activities commence (preferably during or before the Logistics Period), all Nomination forms, outreach, marketing, social media, multi-media events, emails, NTSA Advisor text, etc. are prepared by AJC #1 and reviewed/approved by the AJC Chair and/or the AJC. Distribution is effected by ARA staff.

3.5. FVSA Nominators.

a. Eligible Nominators.

1. Any ARA affiliation, i.e., member of ASEA, ASPPA, NAPA, NTSA and/or PSCA, by virtue of their ARA division of membership;
2. Especially, NTSA SP Designated Points of Contact, SP Advocacy Representatives, SP Ambassadors, NTSA standing committees and project Chairs & Vice Chairs, and NTSA member managers, participants in the Member Survey.

b. Ineligible Nominators.

AJC members in the Nomination Year; self-nomination.

However, for the 2020 and 2021 Nomination Years, the committee will accept self-nominations.

3.6. FVSA Nominees.

a. Eligible Nominees.

1. NTSA Member in good standing,
2. In compliance with ARA Code of Conduct.
3. NTSA Financial Advisor Member must be in good standing with FINRA & SEC, with Financial Advisor affirmation of good standing with state insurance regulators in which Advisor registered.
4. Other NTSA members: affirmation by supervisor, if other than Nominator, of Nominee good standing in firm and the retirement industry, may be requested.

b. Nomination Criteria.

1. MEMBERSHIP: NTSA Membership for three (3) or more years, including the Awards Year, e.g., for the 2022 Awards, member as of 2020 or before.
2. PRESENT VOLUNTEERISM and SERVICE: Minimum of ten (10) hours in the most recent calendar year preceding the Nomination Year, both for NTSA, as well as separately for their Community, e.g., for the 2022 Awards, with 2021 Nomination Year, the 2020 calendar year.
3. PAST VOLUNTEERISM and SERVICE: Minimum of twenty (2) hours total in the last one (1) to five (5) previous calendar years, for NTSA, as well as separately for their Community, e.g., for the 2022 Awards, with the 2021 Nomination Year, the 2015 – 2019 calendar years.

c. Ineligible Nominees.

NTSA FVSA AJC in Nomination Year.

3.7. FVSA Nomination Period.

- a. **Nomination Solicitations.** ARA scope of influence, NTSA, NTSA SPs, Member Survey respondents, NTSA certified and credentialed members.
- b. **Timing.** Generally, four (4) to six (6) weeks, at the discretion of the AJC, as published in the annual Timetable.
- c. **Nominator Forms.** Nominations can be made singly or in a group, using the Nomination Forms developed and approved by the NTSA FVSA AJC and effected by ARA staff.
- d. **Nominee Announcement.** NTSA Member Nominees are notified within one week of nomination by ARA staff with copy to the Nominator and the FVSA AJC. Non NTSA member Nominees are solicited by ARA staff for NTSA affiliate membership for this and other NTSA member benefits, within one month of receipt, with copy to the Nominator, the NTSA FVSA AJC and the NTSA Membership Engagement Committee.

3.8. Create and Fine-tune.

- a. **Nomination Form.** Affirmation of compliance with ARA Code of Conduct and good standing, together with approval for use in public domain.
 1. Quantitative: Nominator full information and Nominee brief contact information.
 2. Qualitative: Story(ies) / anecdote(s) of 50 – 150 words from Nominator perspective about Nominee Volunteerism and Service, with public use approval.
- b. **Solicitation Emails.** From known NTSA names, with follow-ups by AJC.
- c. **NTSA Advisor Series.** Award information, FAQs and explanations, including NTSA Volunteer and Service Stories.
- d. **Flyers.** NTSA Strategic Partners & NTSA Standing Committees and Projects.

3.9. Promote.

a. Target Nominator Sectors.

1. NTSA Standing Committees and Projects
2. NTSA Strategic Partners

3. Community entities as evidenced in NTSA Member Corporate Service Responsibility (CSR) outreach survey.

b. Outreach Formats for Nominator Solicitation.

1. Email Series.
2. SP & Standing Committee Flyers.
3. NTSA Advisor twice weekly series; intermittent to ARA divisions of membership.
4. Virtual meetings and powerpoint presentations may be available.
5. Social Media to NTSA members.

3.10. Monitor.

Oversight process: Inaugural Year: one month after Nomination Period begins; thereafter, annually, during Post-Awards Update.

4. FVSA AWARDS APPLICATION PERIOD: NTSA Member Application Process. Led by AJC #2

4.1. FVSA Application Administration.

At least two weeks before any Application activities commence (preferably during or before the Logistics Period), all Application forms, outreach, marketing, emails, NTSA Advisor text, etc. are prepared by AJC #2 and reviewed/approved by the AJC Chair and/or the AJC. Distribution is effected by ARA staff.

4.2. FVSA Application Content.

Assertion of compliance with ARA Code of Conduct and good standing, together with approval for use in public domain

- a. Quantitative.** Additional objective, quantitative information, beyond the basic quantitative criteria, regarding the Nominee's distinctive volunteer service, such as, but not limited to: for each segment, details of Nominee's volunteer organization(s), topic/project description, hours worked, role. This additional information may be used for NTSA advocacy and public relations purposes.
- b. Qualitative. Nominee Story(ies) / Anecdote(s).** As a critical part of the Application, qualitative reflections separate the distinctive with their differentiating responses. "Who is Served? How are they served? Why do you serve? What results have you seen?" in 50 - 150 words with public use approval. Pandemic responses are also invited in the 2020-2021 Nomination Years.

4.3. FVSA Application Period.

- a. Application Solicitations.** To Nominated NTSA Members.
- b. Timing.** ARA Staff sends within one week of Nomination receipt.

4.4. FVSA Application Timing.

Due generally within one week of Nomination notification by ARA staff.

4.5. FVSA Nominee Input.

Electronic submission to ARA staff; staff sends summary to AJC weekly on Friday.

4.6. Create and Fine-tune.

- a. Application Form.**
 1. Quantitative Nominee full information, as well as Nominee Volunteer and Service information.
 2. Qualitative Story(ies) / anecdote(s) in 50 – 150 words, from Nominee perspective about Nominee Volunteerism and Service, with public use approval.
- b. Email and Concurrent phone calls by volunteers to Announce Nomination with Application Solicitation.** To Nominee, copy to Nominator.
- c. Email and Concurrent phone calls by volunteers for Follow-up.** To Nominee, copy to Nominator and/or Supervisor; weekly until received; calls enabled by AJC.
- d. Email acceptance of Application & next steps.** To Nominee, copy to Nominator.

4.7. Promote.

- a. Target Sectors.** Nominated NTSA Members.
- b. Outreach Formats.** By ARA staff.
 1. Email Announcement and Application Solicitation; copy to Nominator.
 2. Emails with follow-ups every Monday and Thursday until Application received.
 3. Social Media to members in similar cadence.

4.8. Monitor.

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

5. FVSA AWARDS AFFIRMATION PERIOD: NTSA Volunteer and Community Service Confirmation Process. Led by AJC #3

5.1. Affirmation Administration.

At least two weeks before any Affirmation activities commence (preferably during or before the Logistics Period), all Affirmation forms, outreach, marketing, emails, social media, multi-media events, NTSA Advisor text, etc. are prepared by AJC #3 and reviewed/approved by the AJC Chair and/or the AJC. Distribution is effected by ARA staff.

5.2. FVSA Affirmation Content.

Addition of Qualitative Content: Story(ies) / anecdote(s) of 50 – 150 words about the impact of Nominee's works of time and talent from the perspective of the particular supervisor or colleague from both NTSA Volunteer works and Community Service works.

5.3. FVSA Affirmation Timing.

Sent out by ARA staff to NTSA Volunteer and Community Service Supervisors or Colleagues, on behalf of the Nominee, generally within one week of Nominee Application receipt. Generally, receipt is requested within one week.

5.4. Create and Fine-tune.

- a. **Single Affirmation Form.** for use by the two (2) Nominee Volunteer and Service Affirmations: NTSA Volunteer Supervisor or Colleague, Community Service Supervisor or Colleague, with public use approval.
- b. **Email and concurrent phone calls for Submission.** To Supervisors or Colleagues with copy to Nominator & Nominee; calls; enabled by AJC.
- c. **Email and concurrent phone calls for Follow-up.** To Supervisors or Colleagues with copy to Nominator & Nominee; calls enabled by AJC.
- d. **Email acceptance & next steps.** To Supervisors and/or Colleagues, with copy to Nominator and Nominee.

5.5. Promote.

- a. **Target Sectors.** Two (2) Supervisors or Colleagues, one each from FVSA Candidate's NTSA Volunteer works and another from FVSA Nominee's Community Service works.
- b. **Outreach Formats.**
 - 1. Email Announcement and Affirmation Solicitation
 - 2. Email with follow-ups every Monday and Thursday until Affirmations received.

5.5. Monitor.

Oversight process: Inaugural Year: one month after Affirmation Period begins, thereafter, annually, during Post-Awards Update.

6. FVSA AWARDS REVIEW PERIOD: Selection Process. Led by AJC #4

6.1. FVSA Information Consolidation.

ARA staff prepares a master list of all information received from the Nomination, Application and Affirmation process. 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 Nominee Review Individually.

Each FVSA AJC member individually and without consultation or collaboration, rates each Nominee on several qualitative items of submission: Story(ies) / anecdote(s) and reflections from the Nominator, Nominee, and Affirmations, plus quantitative aspects of volunteer and service works, using a common Scoring Form of mutual agreement and prepared by ARA staff.

- a. **Rating.** Generally, the Nominator and Affirmation Story(ies) / anecdote(s) are rated at 1 – 10 points each; the Nominee Qualitative Reflections and Story(ies) / anecdote(s) are rated at 1 - 30 points each.
- b. **Process.** AJC is encouraged to review each Nominee reflection topic for all Nominees first before rating. Then, with understanding of the entire group responses, AJC goes back and rates each individual reflection.
- c. **Nominee Review Summary.** ARA staff prepares summary numerical conclusions for each of the Nominees, using the common Summary Form. The numerical score is only a guide for the FVSA AJC deliberations.

6.3. FVSA Selection Process.

- a. **AJC Determination.** FVSA Awardees are role models of volunteer service for NTSA members, their Communities and beyond. The collaborative AJC consensus decision on naming Awardees has far-reaching Consequences and thus must be made carefully and conscientiously.
- b. **Confidentiality.** All AJC works are of utmost confidentiality.
- c. **No Requirement.** For Awards to be given in any Nomination Year, depending on the quality of the Nominations, Applications and Affirmations.

- d. **Not a Single Award.** NTSA Awards philosophy precludes having just one Awardee named in any Nomination or Award Year, but rather that multiple, diverse individual Awardees be honored.
- e. **FVSA AJC Phone Interviews.** The need for Nominator, Nominee and/or Affirmation Interviews may be considered by the AJC. These are optional, but if indicated for all the Nominees, and potentially their Affirmations, 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.

7. FVSA AWARDS ANNOUNCEMENT PERIOD: Promotion Process. Led by AJC #5

7.1. FVSA Awards Announcement Administration.

At least two weeks before any Awards Announcement activities commence (preferably during or before the Logistics Period), all Awards Announcement outreach, marketing, emails, social media, multi-media events, NTSA Advisor text, etc. are prepared by AJC #5 and reviewed/approved by the AJC Chair and/or the AJC. Distribution is effected by ARA staff.

7.2. FVSA Awardees' Notification.

Via phone, email and USPS confirmation letter from NTSA leadership, generally the NTSA Executive Director, NTSA Awards Chair, AJC Chair and/or President; with copy to Nominator and Affirmations.

7.3. FVSA Awardees' Recognition.

- a. **Publicity Opportunities Release.** Press Release nationally and provided for Awardees' local press sensitive to national and/or local volunteer recognition initiatives; Electronic Signature with dated FVSA logo; participate in possible press interview and possible invitation-only event(s) during the NTSA Annual Meeting/Summit; articles in NTSA Advisor.
- b. **Onsite Recognition.** Generally at the NTSA Annual Meeting / Summit Awards Luncheon, including taping of acceptance speech; individual introduction on stage; framed, personalized Certificate of FVSA recognition, and presentation at NTSA Awards Luncheon.

7.4. FVSA Awardees' Responsibilities.

- a. **Be Present and Accept.** NTSA Annual Meeting / Summit.
- b. **Participate.** For interviews to complete feature articles for NTSA Advisor, including WOWcast interviews and potentially other audio and visual venues, webinars, Summit, taped acceptance speech.
- c. **Attend and Cooperate.** In the next year's NTSA Annual Meeting / Summit, as needed, including, possible 2 – 3 conference calls planning same.
- d. **Collaborate Actively.** If chosen, on the AJC in subsequent years, on the Elite Advisor Council and other NTSA-related works.

7.5. Create and Fine-tune.

- a. **Awardee Press Releases.**
- b. **NTSA Advisor Series.**
- c. **Awardee Letter from NTSA Leadership.** copy to Nominator, Affirmations and SP, if appropriate.
- d. **Personalized Recognition.** Presented at the NTSA Annual Meeting / Summit.
- e. **Action Event.** Private donations to Awardee's local Community Service solicited during NTSA Summit presentation time period.
- f. **NTSA Donation.** Awardees' Community Service Project. Generally, beginning at \$250, subject to budgetary restrictions.

7.6. Promote.

- a. **Target Sectors.**
 - 1. NTSA Standing Committees and Projects.
 - 2. NTSA Strategic Partners.
 - 3. Community 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.
 - 6. Multi-media presentations; zoom, etc.

7.6. Monitor.

Oversight process: Inaugural Year: one month after Awards Announcement Period begins; thereafter, annually, during Post-Awards Update.