

# ASSOCIATED STUDENTS OF THE UNIVERSITY OF WASHINGTON FINANCIAL POLICY

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## SECTION 1 | Purpose & Scope

1. The purpose of this Associated Students of the University of Washington [ASUW] Financial Policy (the official bylaws of the Finance and Budget Committee) is to provide all guidelines, policies, protocols, and overarching principles governing all fiscal activity directly conducted or otherwise authorized by the ASUW and their appointed agents.
  - a. In any situation of conflict between this ASUW Financial Policy, the ASUW Bylaws, and the ASUW Constitution, then the ASUW Bylaws and the ASUW Constitution supersede the authority of this ASUW Financial Policy.
  - b. In any situation of conflict between this ASUW Financial Policy and any other policy regarding any ASUW fiscal activity not found in the ASUW Bylaws or the ASUW Constitution, including, but not limited to: individual unit policies, committee bylaws, ASUW Senate Bylaws, and their organic laws, then this ASUW Financial Policy supersedes their authority, regardless of the method by which they are approved.
2. These guidelines, policies, protocols, and overarching principles governing all fiscal activity by the ASUW shall abide by University of Washington [UW], Washington State, and Federal Policies.
3. The ASUW Financial Policy may be amended without warning or due democratic process by the Board of Directors to meet necessary legal compliance.

## SECTION 2 | Definitions

1. **Finance and Budget Director:** The employee chosen by the ASUW Finance and Budget Director Hiring Committee to oversee all ASUW fiscal activities as stated in the ASUW Constitution.
2. **Board of Directors:** The official executive decision-making body of the ASUW with eight elected officers, one Senate representative, one Graduate and Professional Student Senate representative, the Personnel Director, the Communications Director, and the Finance and Budget Director.
3. **Executive Committee:** Contains the ASUW President, Vice President, Communications Director, Finance and Budget Director, and Personnel Director. They are the primary operational and personnel working group of the ASUW.
4. **Board of Directors Member:** An official member of the Board of Directors as listed in the above subsections.
5. **Volunteer:** Any unpaid worker of the ASUW that has undergone an official orientation session delivered by the Office of Outreach and Involvement.
6. **Student Activities Office [SAO]:** Serves as the primary fiduciary agents of the ASUW Board of Directors and the ASUW Entities.
7. **Fiscal Year:** Each fiscal year shall begin on July 1 and end June 30.
8. **ASUW Entity:** An ASUW Commission, Entity, Program, Enterprise, or another on-going sub-unit officially recognized by the ASUW Board of Directors by means of a Board of Directors Bill. This specifically excludes Registered Student Organizations [RSOs] or any other student-run University unit that is not under the direct management of the ASUW Board of Directors. When referring to “operating unit,” it is assumed that the responsibilities for compliance fall on the appointed director of the ASUW Entity.
9. **Director:** The top manager of an ASUW Entity responsible for all operations and personnel within the ASUW Entity.
10. **Object Codes:** The broad overall categories used by the UW and the Office of Planning and Budgeting and the Services and Activities Fee Committee to track spending. A full list of used object codes is under §7.2b. The ASUW does not use sub-object codes to track spending.
11. **Line Items:** The purchase-specific categories under a broad object code jointly determined by the Finance and Budget Director and the ASUW Entity Director to track spending and monitor operational progress throughout the year. For internal ASUW office use only.
12. **Written Approval:** Any formal or informal receipt, handwritten or digital, by the Finance and Budget Director providing approval for fiscal activity as requested.
13. **Endorsement:** An endorsement indicates support for an event or program with no shared financial

obligation.

14. **Co-Sponsorship:** A co-sponsorship indicates that there are shared financial obligations between an ASUW Entity and other sponsors. Other sponsors include another ASUW Entity, University department, or off-campus organization.
15. **Co-Productions:** Contractual agreements between ASUW Entities and University departments or off-campus organizations where expenses are calculated in advance and revenues are split by percentage determination outlined in a contract.

### **SECTION 3 | Amendments & Review**

#### 1. Amendments

- a. All additions, deletions, or modifications to the ASUW Financial Policy must be first approved by a 2/3 vote of the Finance and Budget Committee and then by a majority vote of the Board of Directors.
  - i. All additions, deletions, or modifications that directly impact the budget setting process and authority of the unit directors, the Finance and Budget Director, or Committee, and/or the Board of Directors, must be presented to and approved by the Board of Directors within the first 11 weeks of regular academic year (Fall Quarter).
    1. Any edits after this timeframe shall go into effect in the following fiscal year.
    2. All parties directly impacted by the additions, deletions, or modifications of this section must be alerted within one week of the changes going into effect.
- b. The sitting Finance and Budget Committee may make additions, deletions, modifications, or any other changes to the Financial Policy in Spring Quarter of their tenure by a 2/3 vote of the present voting members.
  - i. These additions, deletions, or modifications shall be reported to the Board of Directors at its next regular meeting, at which time the changes from the Finance and Budget Committee can be repealed, amended, or postponed.
  - ii. The ASUW Financial Policy deletions or modifications become final and official if the Board of Directors takes no action during the meeting at which they are informed of the Finance and Budget Committee's changes to this ASUW Financial Policy.

#### 2. Judicial Review

- a. The ASUW Financial Policy shall be comprehensively reviewed by the Judicial Committee at least every two fiscal years.
  - i. Details of the review must be submitted to the Finance and Budget Committee no later than the end of Winter Quarter.
  - ii. In the event the Finance and Budget Committee wishes to appeal the Judicial Committee decisions, the Finance and Budget Committee may draft a recommendation to present with the Judicial Committee's findings.
- b. Additional reviews of this ASUW Financial Policy, either in full or in part, by the Judicial Committee may occur at greater frequency upon request by the Board of Directors or any other concerned constituent as mandated by the ASUW Constitution.
- c. All reviews shall comply with all normal procedures as defined by the Judicial Committee and their internal policies.

### **SECTION 4 | Finance and Budget Committee Authority**

1. The Finance and Budget Committee is delegated the following broad powers by the ASUW Constitution:
  - a. Prepare and submit to the Board of Directors an annual budget which shall include an allocation of funding for the activities of the ASUW;

- b. Make decisions on all ASUW expenditures not provided for in the annual budget;
  - c. Recommend admission fees to ASUW events;
  - d. Make recommendations on salaries, salary ranges, and contracts;
  - e. Provide through the UW for an annual audit of accounts of the ASUW;
  - f. Manage allocation of the Special Appropriations Fund and follow the all processes, rules, and procedures as written in the ASUW Bylaws Article 5.
  - g. Create and enact committee bylaws for the following purposes:
    - i. Specify policies and procedures of the ASUW not otherwise enumerated in the ASUW Constitution;
    - ii. Specify the powers, functions, duties, and responsibilities of the ASUW officials not otherwise enumerated in the ASUW Constitution.
2. Membership
    - a. Membership to the Finance and Budget Committee and its sub-committees shall be defined by ASUW Constitution and Board of Directors Bylaws.
    - b. No members of the Finance and Budget Committee or its sub-committees may simultaneously sit on the Service and Activities Fee Committee during their tenure as a committee member.
  3. Any change in an ASUW Entity's budget which alters its objectives as originally described and appropriated, or alters the way in which the objectives shall be sought, must have the approval of a majority of the Finance and Budget Committee.
  4. The Finance and Budget Committee shall make decisions on all requests during the year that are not provided for in the annual budget and do not exceed the amount of \$1,000.
    - a. These decisions shall be reported to the Board of Directors at its next regular meeting, at which time the decisions from the Finance and Budget Committee can be repealed, amended, or postponed.
    - b. The Finance and Budget Committee decision becomes final and official if the Board of Directors takes no action during the meeting at which they are informed of the Finance and Budget Committee's decision.
  5. For requests in excess of \$1,000, the Finance and Budget Committee shall follow its normal procedures.
    - a. However, decisions of the Finance and Budget Committee in these instances shall only qualify as recommendations.
    - b. The Board of Directors must then vote to accept, amend, or reject the Finance and Budget Committee's recommendation.
  6. The budget style and format are at the option of the Finance and Budget Committee.
    - a. The desired format and attendant instructions should be agreed upon by the Finance and Budget Committee.
    - b. This is done at the initiative of the Chair of the Finance and Budget Committee.
  7. Sub-committees
    - a. The Finance and Budget Committee is permitted to create sub-committees for distributing the fiscal responsibilities and burdens to specific sub-committees of individuals informed on the best practices.
    - b. The bylaws for these sub-committees shall reside in this ASUW Financial Policy. The Finance and Budget Committee holds oversight and policy control over these groups for upholding the fiscal standards of the ASUW.
    - c. These sub-committees are authorized to make monetary and policy decisions independently of the Finance and Budget Committee.
      - i. These sub-committees may make additions, deletions, and/or modifications to their own bylaws according to a schedule approved by the respected sub-committee policies.
      - ii. The Finance and Budget Committee may amend sub-committee bylaws as deemed necessary, but the sub-committees cannot amend any other portion of the ASUW Financial Policy outside their own bylaws.

## SECTION 5 | Finance and Budget Committee Procedures

### 1. Conduct of Meetings

- a. All meetings of the Finance and Budget Committee shall be conducted according to the guidelines and provisions outlined in the ASUW Constitution and Bylaws, the Open Public Meetings Act (RCW 42.30), and the Sturgis Standard Code of Parliamentary Procedure. Any meeting of the Finance and Budget Committee shall be open to members of the ASUW and the public unless an Executive Session is ordered by the Chair.
  - i. For all virtual meetings, the waiting room and password functions must be disabled in order to comply with the Open Public Meetings Act.
- b. If any meeting of the Finance and Budget Committee be interrupted by an individual, group, or group of persons so as to render the orderly conduct of the meeting unfeasible, and if order cannot be restored, the Finance and Budget Committee may order the meeting room cleared and continue in session.
  - i. If the meeting is virtual, through Zoom or another platform, the interrupting individual or group may be removed from the meeting.
  - ii. Under these conditions, final disposition may only be taken on matters appearing in the approved agenda.
  - iii. Representatives of the press and media shall be re-admitted in compliance with Washington State law. The Finance and Budget Committee may establish a procedure for readmitting a person or group not responsible for disturbing the orderly conduct of the meeting.
  - iv. If the clearing of the meeting room is unfeasible, the Finance and Budget Committee may recess and reconvene at another location or time selected by a majority vote of the Finance and Budget Committee.

### 2. Finance and Budget Committee Bills

- a. General Provisions
  - i. Finance and Budget Committee Bills shall serve as the tool of the Finance and Budget Committee to exercise its broad powers as delegated by the ASUW Constitution, ASUW Bylaws, and the ASUW Financial Policy.
  - ii. Finance and Budget Committee Bills shall remain the opinion of the Finance and Budget Committee until repealed either directly, or through implication of another Finance and Budget Committee Bill.
  - iii. Finance and Budget Committee Bills may be officially referred to and titled as Financial Bills.
- b. Classification
  - i. Each Finance Bill shall be classified in a format with two numbers separated by a period.
  - ii. The first number shall be the classification number of the Finance Bill as follows:
    1. 1 - Finance Bills regarding amendments or changes to the ASUW Financial Policy.
    2. 2 - Finance Bills regarding the general business of the Finance and Budget Committee.
    3. 3 - Finance Bills regarding budget related business or enforcement of financial policies.
    4. 4 - Finance Bills regarding budget appeals or approval of transfers or additional funding.
    5. 5 - Finance Bills regarding commendation or recognition.
    6. 6 - Finance Bills regarding special appropriations.
  - iii. The second number shall be one more than the amount of Finance and Budget Committee Bills of the same classification that has been submitted to the Administrative Assistant to the Finance and Budget Director.

- c. Enactment Clauses
  - i. If the Finance Bill is a recommendation, it shall be enacted by the clause "THEREFORE, BE IT ADVISED BY THE ASSOCIATED STUDENTS OF THE UNIVERSITY OF WASHINGTON FINANCE AND BUDGET COMMITTEE"
  - ii. If the Finance Bill is binding, it shall be enacted by the clause "THEREFORE, BE IT ENACTED BY THE ASSOCIATED STUDENTS OF THE UNIVERSITY OF WASHINGTON FINANCE AND BUDGET COMMITTEE"

## **SECTION 6 | General Fiscal Policies**

1. The ASUW shall provide appropriations for programs, events, and other ASUW activities designed to involve the general student interest. Consequently, general funding priorities shall be based upon but not limited to events demonstrating:
  - a. Wideness of appeal;
  - b. Benefit to students; and
  - c. Activities directed primarily at the students.
2. Only recognized ASUW Entities are eligible for annual funding from the ASUW. Commissions, entities, and programs shall refer to all on-going sub-units of the ASUW established and directed by the Board of Directors. RSOs shall be eligible for funding from the Special Appropriations Fund and Diversity Commissions.
3. All events or activities involving ASUW funds shall be under the sole direction of the ASUW.
  - a. Event funding of the ASUW is granted to entities with the explicit understanding that the acceptance of those funds acknowledges and accepts the ASUW's primary interest in, and control of, such events.
  - b. No ASUW Entity may enter any agreement which in any sense removes control or accountability of all income and expenses from the ASUW without written approval of the Finance and Budget Director.
  - c. Approval may be revoked by the Board of Directors at any time.
4. Only paid employees of the ASUW and its entities may have access to the ASUW Budget Codes and the authority to spend the funds allocated to said budgets.
  - a. Use of such codes for such purposes shall be granted by the ASUW President or Finance and Budget Director only.
  - b. ASUW employees are only permitted to spend funds from ASUW Budgets for which they have been given approval to use.
  - c. Directors are authorized to extend the use of ASUW copy codes to make copies for ASUW events or programs to ASUW volunteers.
5. The Finance and Budget Director, Finance and Budget Committee, and/or the Board of Directors may place stipulations on the use of funds and/or recommend guidelines in the operations of a new program. Stipulations shall be binding and in accordance with Washington Administrative Code.
6. Within two weeks of their term of employment, all ASUW Entity Directors are required to attend a mandatory training session with SAO Advising to discuss University protocols on procurement and budget authorizations.
7. An additional training session with the Finance and Budget Director may be required at the discretion of the Executive Committee. In this session, the following items shall be discussed:
  - a. A full review of the previous year's spending;
  - b. A full review the details of the ASUW Budget they are responsible for managing throughout the year;
  - c. An overview of limitations on spending ASUW funds established by Washington State;
  - d. Any, and all, Board of Directors stipulations on ASUW Entity spending; and
  - e. The best methods of communication for the remainder of the year.
8. All ASUW Entities' funds shall abide by UW, Washington State, and Federal Policies outlined in the ASUW Guide, Policies, and Procedures Manual and be subject to the following set of regulations:

- a. No personalized letterhead shall be used by the ASUW Entities without approval by the ASUW Office of Communications;
- b. All ASUW Entities shall have use of the ASUW equipment and staff acquired through their funds, but shall yield to Board of Directors-mandated work;
- c. Honorariums shall not be appropriated for individuals who are on the University payroll as staff or faculty;
- d. All events and projects funded partially or totally with ASUW funds must use the word "ASUW" in speaker introductions, publicly acknowledge their connection with the ASUW, and include the ASUW logo and the Americans with Disabilities Act statement in all print and electronic advertising and promotional materials.

## SECTION 7 | General Accounting Policies

1. The ASUW shall account for its financial activities using the principles of accounting as provided for under generally accepted accounting principles [GAAP] for non-profit organizations. As such, the ASUW may establish line items for its entities and take other accounting steps to ensure these principles are upheld.
2. All operational and personnel funds to be spent during a given fiscal year shall be appropriated to object codes and line-items.
  - a. The Board of Directors authorizes the Finance and Budget Director to assign an ASUW Entity's appropriated funds only for the appropriated budgeted purpose as outlined in the ASUW Budget according to the line-items denoted.
  - b. Object code categories are as follows:
    - i. Personnel
      1. **Salaries & Wages:** The direct compensation of hired ASUW employees. (*e.g. The ASUW President*)
      2. **Retirement & Benefits:** The employer match for all required ASUW employee salaries and wages benefits.
    - ii. Operational
      1. **Personnel Service Contracts:** The indirect compensation for services provided by contracted work. (*e.g. A performing artist*)
      2. **Other Contractual Services:** The direct allocation of funding for goods purchased through a vendor. (*e.g. Classroom Support Services*)
      3. **Travel:** The direct or indirect allocation or compensation for transportation as necessary for the completion of work assigned. (*e.g. UCar or gas reimbursement*)
      4. **Supplies & Materials:** The direct allocation of funding for internal office supplies to support clerical work; non-capital and disposable in nature. (*e.g. Supplies from Office Depot*)
      5. **Equipment:** The direct allocation of funding for capital and non-disposable materials for clerical work and resale. (*e.g. Computers*)
      6. **Cost-Recovery & Revenue:** The direct influx of money for services or goods rendered by the ASUW to other individuals in the community; may be used to recover program costs (*no price margin added*) or generate additional revenue (*price margin added*).
  - c. After funds are appropriated to object codes, they shall be further allocated into line-items (*i.e. 'Fall Programming' is a line-item under 'Other Contractual Services'*) as determined necessary for the completion of an outgoing ASUW Entity Director to reflect a recommendation for future spending by the ASUW Entity as determined by their goals and mission for that past year.
  - d. The incoming ASUW Entity Director, by affirmation for employment by the Board of Directors, is authorized to reorganize funding between line-items within object codes as determined necessary for the completion of the incoming ASUW Entity Director's goals and

mission for that upcoming year.

- i. These changes are permitted so long as the expenditures recommended by the ASUW Entity does not exceed the Services and Activities Fee allocation for that fiscal year.
  - ii. Any additions, deletions, and/or modifications of these line-items must be reported to the Finance and Budget Director before they can go into effect.
  - iii. The Finance and Budget Committee and the Board of Directors may redact this authority from an ASUW Entity Director at any time.
3. No ASUW Entity shall transfer money from one object code to another (*i.e. 'Other Contractual Services' to 'Travel'*) without the written approval of the Finance and Budget Director or the President of the ASUW.
  - a. The Finance and Budget Director or the President of the ASUW can authorize such changes up to a maximum of \$1,000.
  - b. Requests for object code transfers exceeding \$1,000 must have the approval of the Finance and Budget Committee.
  - c. All object code transfers approved by the Finance and Budget Director or the President of the ASUW must be reported to the Finance and Budget Committee at their first meeting following such object code transfer approval.
  - d. The Finance and Budget Committee may overrule any object code transfer authorized by the Finance and Budget Director or the President of the ASUW.
    - i. A veto by the Finance and Budget Committee shall then be reported to the Board of Directors at its next regular meeting, at which time the Board of Directors may vote to overrule the Finance and Budget Committee veto.
  - e. Incoming ASUW Entity Directors may set additional stipends, salaries, and wages beyond their annual budget from their operational budgets if deemed necessary for the completion of their mission.
    - i. This process is considered an object code transfer and must follow the process as stated in §7.3a-e in addition to the following requirements:
      1. The job title, hours per week, weeks employed, pay rank, reporting hierarchy, and job description must be first approved by the Personnel Committee prior to review by the Finance and Budget Committee;
      2. The stipends, salaries, and wages shall be reviewed by the Finance and Budget Committee;
      3. The Finance and Budget Committee shall make a simultaneous recommendation to the Personnel Committee and the Board of Directors.
      4. Allocation of an additional employee funded by the operational budget in no way guarantees the continual funding of that position in the following fiscal year.
4. At the end of the fiscal year, all unexpended appropriations made to ASUW Entities shall be returned to the ASUW General Fund. Surpluses accumulated to the operation of all ASUW activities shall revert to the ASUW General Fund at the end of the fiscal year, with exceptions stipulated elsewhere in the ASUW Bylaws.
5. The level of expenditure shall not exceed the amount of the appropriations. If the funds for an ASUW Entity are overspent, the overrun shall be paid in full by the ASUW Entity.
  - a. Until such time, all funds for that purpose shall be automatically frozen.
  - b. If the funds to cover the debt variance cannot be procured in the fiscal year, the debt shall be paid for by the ASUW General Fund and deducted from the ASUW Entity's delineated budget the following fiscal year, or as otherwise recommended by the Finance and Budget Committee and/or Finance and Budget Director.

## **SECTION 8 | General Procurement Policies**

1. ASUW Entities are permitted to procure all supplies and materials necessary for the completion of

- their mission for that current fiscal year.
2. ASUW Entities, unless otherwise specifically delegated the authority in these bylaws, may not spend any portion of their operating budget on capital expenditures.
    - a. Any desired capital expenditures for the ASUW must be procured through the Board of Directors Capital Improvement Fund.
    - b. Failure to comply with this policy may result in the return of the purchased equipment, the redistribution of the equipment for general office use, and/or the reduction of the ASUW Entity's budget in the future year by the total amount of the cost of the equipment acquired.
  3. ASUW Entities funded by the ASUW are authorized to purchase supplies only through the SAO.
    - a. If such supplies are not available, the SAO staff shall assist said group in obtaining supplies.
    - b. All ASUW purchases shall be completed through the UW Purchasing Department through the SAO.
    - c. If there are large specialized printing requirements related to unique processes, special deadlines, price, or any other potential advantage, the UW Printing Plant, through the UW Purchasing Department, shall assist students in making arrangements with outside suppliers.
  4. The ASUW shall provide standard authorization forms for all services which have been authorized by the Finance and Budget Director or the Board of Directors.
    - a. ASUW Commissions, Entities, or Programs and RSOs which receive funding from the ASUW for a given service or event must obtain appropriate forms from the SAO.
    - b. Failure to do so will negate the ASUW's responsibility to pay for any unauthorized expenditure.

## **SECTION 9 | Grants, Contracts, & Co-Sponsorship Policies**

1. Any ASUW Entities seeking or obtaining outside funding by any means must receive written approval from the Finance and Budget Director.
  - a. A written statement describing the expected impact on ASUW facilities and services, including space, phones, equipment, staff and secretarial services must be included.
  - b. All actual requests for outside funding must be approved by the Finance and Budget Committee prior to submission to the Board of Directors.
2. ASUW Entities may apply for grants as defined and stipulated below:
  - a. Services and Activities Fee
    - i. The Finance and Budget Director, in coordination with the Executive Committee, shall write the annual request to the Services and Activities Fee Committee as delineated by the ASUW Constitution;
    - ii. The final draft must be approved by the Board of Directors as stated in the ASUW Constitution and outlined in §12.
    - iii. Any additions to the Services and Activities Fee Request for special projects or other activities must be approved through an official ASUW Board of Directors Bill.
    - iv. No ASUW employee shall submit a Services and Activities Fee Request on behalf of their ASUW Entity independently.
  - b. Campus Sustainability Fund
    - i. Any ASUW Entity that wishes to pursue Campus Sustainability Funding must first submit a purpose of intent to the Board of Directors.
    - ii. This purpose of intent should be no longer than four pages and must specify the following:
      1. Project background, problem identified, and solution requested;
      2. A timeline for project completion and the final date for project implementation;
      3. The estimate cost, current resources, and the projected cost of compliance; and
      4. Additional operational and personnel resources required beyond current resources.

- iii. The purpose of intent shall be presented to the Finance and Budget Committee and provide recommendations to the Board of Directors.
    - iv. The Board of Directors shall consider the purpose of intent with the Finance and Budget Committee to determine to approve, amend, deny, or postpone the request.
    - v. In the event the project is approved, the Board of Directors shall assign a Board of Directors member as a project liaison to assist in project completion.
  - c. Student Technology Fee
    - i. Any ASUW Entity that wishes to pursue Student Technology Funding must first submit a purpose of intent to their Board of Directors Liaison, the ASUW Vice President, and the Finance and Budget Director.
    - ii. This purpose of intent should be no longer than four pages and must specify the following:
      - 1. Project background, problem identified, and solution requested;
      - 2. The estimate cost, current resources, and the projected cost of compliance;
      - 3. All possible alternatives and additional funding sources;
      - 4. Additional operational and personnel resources required beyond current resources.
    - iii. The purpose of intent shall be presented to the Finance and Budget Committee who will provide recommendations to the Board of Directors.
    - iv. The Board of Directors shall consider the purpose of intent and the Finance and Budget Committee recommendation to determine to approve, amend, deny, or postpone the request.
    - v. In the event the project is approved, the Board of Directors shall assign a Board of Directors member as a project liaison to assist in project completion.
  - d. Additional/Outside Grant Requests
    - i. Any ASUW Entity that wishes to pursue additional grants sponsored by a nonuniversity affiliated organization must first receive authorization by the Board of Directors in the form of a Board of Directors Bill.
    - ii. The ASUW Entity must be able to demonstrate a profound need for additional funding, an explanation to why ASUW funds are insufficient, and provide documentation on the mission, vision, and purpose of the organization.
  - e. Failure to adhere to any policy in this subsection may result in the redaction of the grant request, the return of acquired funds, and/or the total or partial withholding of funds by the Board of Directors. Additional personnel action may occur at the sole discretion of the Personnel Director.
- 3. ASUW Entities may be involved in co-sponsorships, endorsements, and co-productions as stipulated below:
  - a. Co-sponsorships and co-productions involving the use of ASUW funds by a commission, entity, or program shall be subject to the following guidelines:
    - i. Use of such funds is subject to all stipulations and limitations regarding the use of ASUW funds outlined in this ASUW Financial Policy;
    - ii. No later than ten days before the event that an ASUW Entity is co-sponsoring, the commission, entity, or program may be required to seek written approval from the Finance and Budget Director
    - iii. A written statement may be requested. It shall include the following elements:
      - 1. A description of the event that is being co-sponsored; and
      - 2. The amount of funds provided by the ASUW Commission, Entity or Program for the said event.
    - iv. The Finance and Budget Director will report the information to the Finance and Budget Committee at their next meeting.
    - v. The Finance and Budget Committee may, at its discretion, request additional information regarding co-sponsorships or co-productions from participating commissions, entities, or programs.

- b. Endorsements shall be subject to the following guidelines:
  - i. An ASUW Commission, Entity, or Program can endorse events or projects by any group, student, or non-student, provided that the ASUW is not prohibited by law from association with the event or project (*e.g. illegal attempts to influence legislation, promoting candidates in elections, etc.*);
  - ii. Individual employees may endorse any event or project at their discretion, and may use their ASUW titles as identification, providing that the use of the ASUW title is not intended to imply endorsement by the ASUW;
  - iii. Endorsement by an ASUW Commission, Entity, or Program, or by a Director of an ASUW Commission, Entity, or Program, does not entitle the sponsoring group to any privileges (*e.g., reduced rental rates in the HUB, etc.*) held by ASUW Commissions, Entities, or Programs.
- 4. ASUW Entities may enter into contracts in the manner stipulated below:
  - a. Only written contracts signed by the Student Activities Director or their designated representative shall bind ASUW funds.
    - i. Students shall be directed not to make verbal contracts.
    - ii. Failure to adhere to this policy shall not bind ASUW funds.
  - b. No contracts or subsidiary arrangements shall be made by an ASUW Commission, Program, Entity, or a RSO which in any sense, removes control or accountability of all income and expenses from the ASUW without written approval of the Finance and Budget Director.
    - i. Approval of such by the Finance and Budget Director shall be reported to the Finance and Budget Committee and to the Board of Directors at the next regular meeting of each group.
    - ii. Approval may be overridden by the Board of Directors at any time.
    - iii. Failure to adhere to this policy shall not bind ASUW funds.

## **SECTION 10 | Revenue**

- 1. All revenues derived from the ASUW-sponsored programs shall be deposited in full into the ASUW program account.
- 2. All tickets, passes, or other admission devices shall be drawn through the Husky Union Building [HUB] Ticket Office from pre-printed, serial-numbered stock.
  - a. Tickets, passes, and admission devices obtained in any other manner shall not be honored for events involving ASUW funds.
- 3. The ASUW Commission, Entity, or Program or Student Organization requesting ASUW funds for a program must report the actual amount of the revenues to the Finance and Budget Director no later than two weeks after completion of the program.
  - a. The Finance and Budget Director shall notify the Finance and Budget Committee of any report of revenue.
- 4. No cash payments from gate or other earned revenues shall be made.

## **SECTION 11 | Additional Delineated Authority**

- 1. ASUW Commissions and Programs
  - a. ASUW Commissions and Programs co-sponsorships of RSO's programs and events shall be capped at no greater than 1/3 of the total programming amount per entity. No single RSO event shall be eligible for more than \$500 in sponsorship by ASUW Commissions and Programs.
- 2. Arts and Entertainment
  - a. ASUW Arts and Entertainment [A&E] shall be permitted to offset expenditures for major event programming with any revenues earned through ticket sales or other admissions.
  - b. When ASUW A&E wishes to sponsor a program involving honoraria of \$7,000 or more, the following conditions must be met:
    - i. The following working group will meet initially within two business days with a

decision being rendered to approve or deny the event within three business days after the A&E Director has called a meeting;

1. President of the ASUW (*or ASUW Vice President, if the ASUW President is absent*),
  2. The Finance and Budget Director (*or Board of Directors Liaison, if the Finance and Budget Director is absent*).
  3. A&E Director (*or the specific program director, if the A&E Director is absent*)
  4. SAO Representative (*as ex-officio member*)
  5. Director of Programming
- ii. If a meeting is not held within two business days, the A&E Director may get written approval from the President of the ASUW and the Finance and Budget Director and,
  - iii. The A&E Director must report the financial status of the event to the Finance and Budget Director within two weeks after the event.
- c. ASUW A&E shall be permitted to use up to \$90,000 of the ASUW General Fund, hereafter referred to as the A&E Special Events Allowance, to bring performers of demonstrated market value to perform on campus under the following conditions:
    - i. The ASUW A&E's fiscal year's accumulated net loss under the A&E Special Event Allowance did not exceed 10% of the beginning of the academic year General Fund balance in the previous three years.
    - ii. That the ASUW's beginning General Fund balance has a minimum balance of \$290,000 which shall include:
      1. \$100,000 insurance;
      2. \$100,000 to maintain operations of the ASUW; and
      3. \$90,000 that may be used to meet the request of A&E.
    - iii. The A&E Director prepares a written proposal that includes details of the events:
      1. Market reach, and
      2. Ticket scenarios outlining various outcomes of the events success and/or failure.
  - d. Events scheduled in a campus location equal to or less than the capacity of the HUB Ballroom (*1550 persons*) must be approved within two business days of the A&E Director's request to the working group mentioned in §11.2b.i.
  - e. A decision must be rendered within three business days after the meeting of the working group or upon the discretion of the A&E Director.
  - f. Events scheduled in a campus location larger than the capacity of the HUB Ballroom (*1550 persons*), will require Board of Directors approval in addition to approval clauses in §11.2b.i.
  - g. Multiple simultaneous requests from the A&E Special Events Allowance need both Board of Directors approval in addition to approvals from those specified in the clauses in §11.2b.i.
  - h. The A&E Director must report the financial status of the event to the Finance and Budget Director within two weeks after the event.
3. Travel
    - a. ASUW Employees may travel outside the Seattle-metro region and/or overnight for the purposes of executing their assigned job function or representing the ASUW in an official capacity.
    - b. ASUW Employees wishing to travel must submit a Travel Request Form to the Finance and Budget Director no later than three weeks before the first day of travel.
      - i. The Travel Request Form must, at a minimum, contain the following:
        1. Entity Name
        2. Employee Name
        3. Start and End Date/Time of Travel
        4. Destination(s)
        5. Method of Travel
        6. Number/Type of Meals(s) provided

7. Preferred Lodging
  8. Purpose of Trip
  9. Relation of Trip to Job Function
  10. Expected Cost of Trip
  11. Additional information as requested by the Finance and Budget Director
- ii. The Finance and Budget Committee shall review the Travel Request and issue their decision in accordance with Section 4, Subsection 4 and 5 of this Financial Policy.
- c. The ASUW shall abide by University of Washington travel policies and guidelines.

## **SECTION 12 | Budget Processes & Procedures**

1. Annual Operating Budget Allocation Process
  - a. As provided in the ASUW Constitution, the Board of Directors shall approve the budget by the end of Spring Quarter.
  - b. After the annual funding criteria and procedures are finalized, the ASUW shall call for funding proposals for operations from its current ASUW Entities and other groups eligible for ASUW funding.
    - i. Included in the call shall be a projected estimate of future spending by the ASUW Entity as determined by the Finance and Budget Director in coordination with the ASUW Entity Director.
    - ii. Included with the call for the funding requests shall be the criteria with which appeals may be instituted and heard.
  - c. The annual funding request process shall be started by the Finance and Budget Committee in late Fall Quarter and shall conclude no later than the last week of Winter Quarter.
    - i. At the end of the annual funding request process the Finance and Budget Committee shall prepare a draft budget for the following fiscal year, which shall include a recommendation of the amount of SAF money to be requested by the ASUW.
    - ii. This draft budget for the following fiscal year shall be presented to the Board of Directors within the same week of being approved by the Finance and Budget Committee.
    - iii. The Board of Directors shall use this draft budget to make a final decision on the amount of SAF money being requested for the following fiscal year.
    - iv. The balance sheet of the approved draft budget shall be included with the SAF request.
  - d. With respect to the actual budget allocation decisions, the ASUW shall provide each of its current entities and other groups eligible for ASUW funding an equal and timely opportunity to present written and verbal testimony relative to the budget allocation decision before any decision is made.
  - e. Budget decisions of the ASUW shall be made in open meetings of the Board of Directors and minutes shall be taken at such meetings and those minutes shall report the reasons for the budget decisions at open meetings, as described above, or to report in the minutes of such meetings the reason for budget actions taken.
    - i. Failure to conduct the meeting in this manner shall constitute grounds for the filing of an appeal by any ASUW Entity or other group eligible for ASUW funding according to the procedures established above and the procedures and criteria adopted shall apply to all groups seeking funding from the ASUW.
  - f. If the Services and Activities Fee Committee does not allocate the full amount as requested by the ASUW, the Finance and Budget Committee shall recommend a new budget to the Board of Directors based on the allocated amount. The Board of Directors shall have two weeks from the time the new budget is recommended to approve a final budget.
  - g. At the beginning of every year, the Finance and Budget Director shall make a recommendation to the Board of Directors to set a deficit floor that the operational budget

must not be set below.

## 2. Annual Personnel Budget Allocation Process

- a. The annual allocation process for personnel shall follow the same above criteria process for setting the operational budget, but instead shall be coordinated by the Personnel Director and/or Committee on behalf of all ASUW employees.
- b. The Finance and Budget Director shall determine a projected estimate for employee compensation, including adjustments for minimum wage increase and inflation, for the Personnel Director whom, through the process of open meetings, criteria and formalized procedures for the hearing of personnel requests by ASUW Entities will determine how that monetary amount is to be distributed.
- c. A recommendation for salary increases by the way of changes to hours per week and weeks per year shall be submitted to the Finance and Budget Committee to be reviewed as a separate ASUW Entity request. The Personnel Committee may make additional recommendations on pay per hour rates, but these recommendations shall have no binding effect on the Finance and Budget Committee nor compel the committee to take further action on the matter.
- d. The Personnel Director and Committee shall be afforded the same rights as an ASUW Entity, including the right to provide verbal testimony and appeal if deemed necessary.
- e. The Finance and Budget Committee shall review the recommendations by the Personnel Director and Committee and make changes as necessary.
  - i. The Finance and Budget Committee shall take every measure necessary to avoid changing hours per week and weeks per year.
  - ii. If the Finance and Budget Committee does make changes to the hours per week and the weeks per year, the Personnel Director may submit an appeal directly to the Board of Directors.

## 3. Annual Budget Appeal Process

- a. The Finance and Budget Committee shall develop and establish, through the process of open meetings, criteria and formalized procedures for the appealing of ASUW Finance and Budget allocation decisions during the annual budget hearings within the first 11 weeks of the regular academic year (Fall Quarter). The details of the appeal process shall be included in the annual call for requests.
- b. In the case that an ASUW Entity believes that a Finance and Budget Committee allocation decision for the ASUW Entity's budget is incorrect, they may choose to appeal the decision directly to the Board of Directors.
  - i. Only the ASUW Entity Director of a ASUW Entity may provide written and verbal appeal on behalf of an ASUW Entity.
  - ii. The appeal must be made in writing no later than three business days prior to the first readings of the draft ASUW Budget.
  - iii. The appeal must be submitted on a form created and distributed by the Finance and Budget Director.
- c. Both written and verbal testimony regarding the appeal must be made in the first readings of the ASUW Budget. Verbal testimony is not permitted in the second readings of the ASUW Budget unless permitted by the ASUW President.
- d. The Board of Directors must vote on whether to adopt, either in part or in whole, the appeal provided by the ASUW Entity Director.
  - i. All budgetary decisions voted on by the Board of Directors are final.
  - ii. The Board of Directors must provide a written response to the ASUW Entity Director regarding the final decision.

## 4. Timeline

- a. A timeline of the activities of the Finance and Budget Committee shall be developed by the Finance and Budget Director within the first four weeks of the academic quarter (Fall Quarter) and approved by a majority vote of the Finance and Budget Committee.

## SECTION 13 | Fund Policies

1. ASUW shall account for its financial activities using the principles of fund accounting as provided for under generally accepted accounting principles [GAAP] for non-profit organizations. As such, ASUW may establish funds for its enterprise entities and for other activities that either require a demonstration of legal compliance or are deemed necessary for sound financial management.
2. The Finance and Budget Director may conduct a risk assessment of the ASUW over the summer quarter and report back to the Board of Directors necessary changes to the fund balances accordingly. The Finance and Budget Director shall work with SAO and the Student Activities Accounting Office to make the changes to the fund balances accordingly.
3. ASUW General Fund
  - a. Unless otherwise provided for in this section, all ASUW financial activity shall be accounted for within the ASUW General Fund.
  - b. The net position of the ASUW General Fund shall be carried forward each year and may be spent as allocated to the Finance and Budget Committee by the Board of Directors.
  - c. At the end of the fiscal year all unexpended appropriations made to ASUW Entities shall first be returned to the ASUW General Fund. Surpluses accumulated to the operation of all ASUW activities shall revert to the ASUW General Funds at the end of the fiscal year, with exceptions stipulated elsewhere in the ASUW Bylaws.
  - d. The target ASUW General Fund amount is \$100,000 or 1/3 of the total ASUW Budget, whichever is greater.
  - e. Expenditures shall be made with a Board of Directors Bill.
4. Joint Commissions Committee Fund
  - a. Any allocation must be approved by a simple majority of the voting members present, and contingent upon quorum being met. Quorum shall consist of at least five voting members;
  - b. The Joint Commission Committee may not financially sponsor Registered Student Organization events. Two or more commissions may team up to work in collaboration with Registered Student Organizations to host events so long as these commissions are the primary lead on the event that they are seeking to fund. In this case the event will be considered a led co-sponsored event;
  - c. The money allocated shall foster the other stated purposes of the Committee, with an emphasis on allowing flexibility, joint programming, and any other collaboration between different Commission Directors;
  - d. In the case of unspent dollars in voting members' Commissions' individual budgets at the end of the fiscal year, the remaining operating funds shall be carried over and made available in the Joint Commissions Committee Fund for two additional years, not to exceed \$15,000 in total.
    - i. The starting fund balance shall be determined by the Finance and Budget Director at the beginning of each academic year.
  - e. The Joint Commissions Committee Fund allocations should not be the sole funding source of a co-sponsored event; all parties should contribute financially in a shared financial obligation between the Joint Commissions Committee and two or more voting members of JCC;
  - f. Requests for Joint Commissions Committee Funds must be submitted three weeks prior to the event unless permission is granted by a two-thirds majority vote from JCC;
  - g. The maximum amount that can be requested from the JCC Fund each quarter shall be set at the first JCC meeting of each respective quarter;
  - h. Upon request for funds, the two or more commissions requesting funds must submit appropriate budget documents as determined by the JCC Fund Request Form;
  - i. The criteria and procedures applied by the Joint Commissions Committee shall not discriminate on the basis of race, color, national origin, sex, religion, sexual orientation, gender identity, citizenship status, or disability.

- j. The Joint Commissions Committee shall prioritize the following when making funding recommendations and decisions, as delineated in Article V, Section 11 of the ASUW Bylaws:
    - i. Preference will be given to events demonstrating a breadth of appeal;
    - ii. Preference will be given to events directed primarily at UW students;
    - iii. Preference will be given to aspects of requests that are essential to the event's success (i.e. room requests, appropriate publicity materials, etc.);
  - k. Any change in an event which alters its objectives or the way in which the objectives are sought as described at the time of the appropriations must have approval of a majority of voting members present from the Joint Commissions Committee in order to retain funding, given that the voting is publicized one week prior to voting occurring.
  - l. For requests less than or equal to \$1,000, the Joint Commissions Committee may allocate funds from the Joint Commissions Committee Fund. These decisions shall be reported to the Board of Directors at the next regular meeting, before the event takes place.
  - m. For requests in excess of \$1,000, the Director of Diversity Efforts shall submit a Board Bill to be approved by the Board of Directors, on behalf of the Joint Commissions Committee.
  - n. A minimum of \$1,000 must remain in the fund at the end of the fiscal year to ensure the continuation of the fund.
  - o. At the beginning of the academic year, the Finance and Budget Director shall tabulate and report the Commission funds remaining from last year to be transferred into the Joint Commissions Committee Fund.
  - p. The JCC Chair shall meet with the Finance and Budget Director by the fifth week of Fall Quarter to discuss the balance of the Joint Commissions Committee Fund for the current academic year.
  - q. The JCC Chair shall keep a record of all events sponsored and hosted by the Joint Commissions Committee Fund. These records will be kept at least for the next five years following a request.
  - r. All uses of the Joint Commissions Committee Fund shall be in accordance with the ASUW Financial bylaws and policies.
5. ASUW Enterprise Funds
    - a. ASUW Enterprise Funds shall be used to account for all financial activity conducted by these enterprises. Except as provided for in §13.7b, the net position from Enterprise operations shall be retained within this fund.
    - b. These ASUW Enterprises are permitted to retain an accumulated fund balance not to exceed 1/4 of their total operating budget.
  6. Bike Shop Fund
    - a. The Bike Shop Fund shall be used to account for all financial activity conducted by ASUW Bike Shop. Except as provided for in §13.7b, the net position from Bike Shop operations shall be retained within this fund.
    - b. The Bike Shop is permitted to retain an accumulated fund balance not to exceed \$10,000 or 1/4 of their total operating budget, whichever is less.
  7. Rainy Dawg Radio Fund
    - a. The Rainy Dawg Radio Fund shall be used to account for all major capital expenditures conducted by Rainy Dawg Radio. The net position of this fund shall be retained within this fund.
    - b. Use of this fund is conditional on the expenditure for Rainy Dawg Radio equipment and other major capital expenditures.
  8. Special Appropriations Fund General Policy
    - a. The Board of Directors shall make an annual appropriation of no less than \$30,000 to the Special Appropriation Fund for use in program funding for Registered Student Organizations throughout the fiscal year. No expenditure from this fund shall occur unless reviewed by the Finance and Budget Committee, unless the Committee is unable to meet to review the request.
    - b. Only Registered Student Organizations shall be eligible for funding from the Special

Appropriations Fund.

- c. Appropriations will be made in the form of a co-sponsorship, a shared financial obligation between ASUW and other sponsors. Other sponsors include another Registered Student Organization, University department, or off-campus organization.
  - d. The criteria and procedures utilized by the Finance and Budget Committee shall not discriminate on the basis of race, color, national origin, sex, religion, sexual orientation, gender identity, citizenship status, or disability.
  - e. The ASUW Finance and Budget Committee shall use the following general funding priorities when making recommendations and decisions on the allocations from the Special Appropriations Fund, as delineated in Article V, Section 11 of the ASUW Bylaws:
    - i. Preference will be given to events demonstrating a wideness of appeal;
    - ii. Preference will be given to events directed primarily at UW students;
    - iii. Preference will be given to organizations demonstrating a history of success in putting on well-attended events, if the event they are requesting funding for has occurred in the past;
    - iv. Preference will be given to organizations which have pursued other sources of funding, such as requests to University departments and fundraisers; and
    - v. Preference will be given to items in requests that are essential to the event's success (i.e. room requests, appropriate publicity materials, etc.)
  - f. Any significant event changes must have approval of a majority of the Finance and Budget Committee in order to retain funding.
  - g. All unspent appropriations made to Registered Student Organizations expire at the end of the ASUW fiscal year.
  - h. For requests less than or equal to \$1,001, the Finance and Budget Committee may allocate funds from the Special Appropriations Fund. These decisions shall be reported to the Board of Directors at its next regular meeting, at which time the decisions from the Finance and Budget Committee can be repealed, amended, or postponed. The Finance and Budget Committee decision becomes final and official if the Board of Directors takes no action during the meeting at which they are informed of that decision.
  - i. For requests in excess of \$1,001, the Finance and Budget Committee shall make recommendations to be considered by the Board of Directors.
  - j. Funds shall not be granted for any Registered Student Organization that attempts to circumvent the rules regarding Special Appropriations Fund allocations.
  - k. The Finance and Budget Director shall keep record of each Registered Student Organization who has requested funds from the Special Appropriations Fund. These records will be kept at least for the next five years following a request.
  - l. The maximum amount of money any Registered Student Organization may receive in total each year shall be set by the Finance and Budget Committee and listed on their website.
  - m. Additional policies and procedures regarding the Special Appropriations Fund are delineated in Section 5, Article 11 and 12 of the ASUW Bylaws.
9. Board of Directors Project Fund
- a. The Board of Directors Project Fund shall be used to account for ASUW collaborative programs, events, or activities otherwise not accounted for in the regular operating budget.
  - b. The fund shall be solely replenished through the unexpended appropriations made to ASUW Entities.
    - i. The Board of Directors Project Fund shall be organized into four line-items under one object code as determined by the four departments of the ASUW:
      1. Executive
      2. Programming
      3. Commissions
      4. Legislative & Elections
    - ii. Each line-item will be funded solely by the unexpended appropriations by each department (i.e. Unexpended funds by the eight commissions jointly fall under the

- commission line).
    - iii. In no event may project funds be used to support RSO events, even in the situation where the event is a collaboration with an ASUW Entity, Department, and/or Board of Directors.
  - c. Fund balance levels shall be determined by the Finance and Budget Director and presented to the Board of Directors by the second regular board meeting of the year.
  - d. The use of this fund is conditional on the expenditure for collaborative programs, events, or activities between the Board of Directors and ASUW Entities. Expenditures shall be made with a Board of Directors Bill.
  - e. The net position of the Board of Directors Project Fund shall be carried forward each year.
  - f. The Board of Directors are permitted to retain an accumulated fund balance not to exceed \$40,000 or 1/3 of their operating budget, whichever is less.
  - g. No funds shall be directed to the Board of Directors Project Fund if the ASUW General Fund is below the target balance level.
- 10. Technology Annual Replacement Program
  - a. This fund will be used to replace existing ASUW office technology on a five-year cycle.
  - b. The Board of Directors shall make an annual appropriation of no less than \$5,000 for use in replacing ASUW's technology.
    - i. The Board of Directors may, by majority vote, defer appropriation of the Technology Annual Replacement Program for the next fiscal year. Deferment of this appropriation may occur a maximum of five years consecutively.
  - c. The Technology Support Staff will complete a yearly inventory of all the ASUW's technology to be shared with the SAO. This inventory can determine the order of which technology is to be replaced. The staff will use the following criteria in determining the functionality of what technology needs to be replaced:
    - i. Functionality with job-related software and hardware;
    - ii. Age of the model make; and
    - iii. All technology is to be replaced after five years of the purchase date.
  - d. The Board of Directors Liaison and the Technology Support Staff have the authority to purchase equipment from this fund if the following are observed:
    - i. This request will follow all procedures as outlined in this subsection;
    - ii. The ASUW Vice President and the Board of Directors Liaison to the Technology Support Staff may jointly determine to change the replacement order to reflect necessary upgrades; and
    - iii. These purchases will be reviewed annually by the Board of Directors.
- 11. ASUW Liability Reserve Fund
  - a. The Liability Reserve Fund shall be used to pay damage awards against the ASUW arising from general liability lawsuits (e.g., bodily injury, property damages, etc.) and is not intended to cover such things as contract disputes or claims based on discrimination.
  - b. This fund will be kept at \$100,000 annually.

## **SECTION 14 | ASUW Constituent Complaint Process**

1. Instructions for Filing Complaint
  - a. Instructions for filing a complaint under this appeal procedure, and copies of the ASUW Constitution and Bylaws, shall be made available by the ASUW.
2. Filing of Complaint
  - a. If a student objects to an allocation of ASUW Funds, a written complaint must be submitted to the ASUW President by 5:00 p.m. within five business days after the Finance and Budget Committee or Board of Directors allocated the funds.
  - b. Unless good cause is shown, an extension of the deadline shall not be granted.
  - c. Such a complaint must allege a violation of the Washington State Constitution, applicable state laws, applicable UW regulations, the ASUW Constitution, or the Bylaws of the Board

of Directors. The burden of proof to demonstrate such a violation shall be on the student alleging the violation.

- d. No complaint shall serve as the basis for freezing ASUW expenditures except as shall seem fit and proper by the ASUW President, in accordance with the provisions outlined in this section.
3. Review of Complaint
    - a. Upon decision by the ASUW President that the complaint addresses itself to the violations of the above-mentioned provisions, the ASUW President shall review, according to Executive Procedure, and refer it to the Judicial Committee for additional review during its next regular meeting. The ASUW President shall:
      - i. Freeze the expenditure in question until the issue has been resolved; and
      - ii. Notify the Student Activities Director, the Vice President for Student Affairs, and the Attorney General's Division.
  4. Attorney General
    - a. The Attorney General shall meet with the Judicial Committee within two regular class days of the filing of the complaint and request an official report to be presented at the next Board of Directors meeting regarding any illegality or violation as indicated in the complaint;
      - i. Request a legal opinion from the Office of the University Vice President for Student Affairs and the Attorney General's division; and
      - ii. Request that the Finance and Budget Director submit a written account of ASUW actions relating to the contested allocation.
        1. The account shall be submitted to the Judicial Committee for review at its meeting.
  5. Decision
    - a. The ASUW Judicial Committee shall hear the complaint and submit an official report to the Board of Directors at its next meeting for final action.
    - b. The Board of Directors may:
      - i. Reconsider the initial allocation and revert the money to the Special Appropriations Fund, or
      - ii. Dismiss the complaint and unfreeze the appropriation, or
      - iii. Reallocate the funds.
    - c. Prompt notice of the final decision shall be given to the student alleging the violation.

## **SECTION 15 | Power to Enforce**

1. Funds shall not be granted for any ASUW Entity, employee, volunteer, or student that attempts to circumvent this ASUW Financial Policy. Failure to adhere to these policies may lead to a budget freeze and/or personnel action.
2. Budget Freeze
  - a. The Finance and Budget Director and the ASUW President reserves the power to freeze an ASUW Entity and Student Organization expenditures if the funds do not adhere to this ASUW Financial Policy as stated, are not being spent for the budgeted purposes, and/or if the expenditures are not within the legal and specific guidelines established by the ASUW, the UW, and Washington State.
    - i. Before a freeze is imposed, a written warning outlining reasons for the impending freeze shall be delivered to the Director of Student Activities who shall write the date and time on it and place it in the organization's campus mailbox or give it directly to the budget administrator of the organization. Either action shall constitute "receipt" of the warning.
    - ii. The SAO shall keep a copy of the dated warning, and a copy shall be provided to the Finance and Budget Director and to the ASUW President.
    - iii. In the 48 hours after the receipt of the warning, any expenditure from the budget shall be approved by the Finance and Budget Director or ASUW President who

shall be available during the normal posted hours or as reasonably required. iv. If the person is unavailable, the Finance and Budget Director or the ASUW President may authorize expenditures after determining that the expenditure is not in violation of ASUW Bylaws, UW Policy, or Washington State Law.

- b. It shall be the responsibility of the organization's budget administrator to try to resolve the situation causing the impending budget freeze within 48 hours of receipt of the warning. If, at that time, the situation has not been resolved to the satisfaction of the person who issued the warning, then the budget may be frozen.
  - c. The Finance and Budget Committee shall review the freeze within one week of its imposition and determine the following:
    - i. The reason(s) for the imposition of the freeze; and
    - ii. If and which ASUW Bylaws were violated.
  - d. Based on its findings, the Finance and Budget Committee shall decide one of the following:
    - i. Removal of the freeze; or
    - ii. Continued freeze of the budget.
  - e. The Finance and Budget Committee will report its decision at the next Board of Directors meeting.
3. Personnel Action
- a. Any ASUW Entity, employee, volunteer, or student found to be actively attempting to circumvent the rules of this ASUW Financial Policy shall also be referred to the Personnel Director for further personnel/volunteer action.
    - i. Any, and all, personnel action is to be determined at the sole discretion of the Personnel Director in compliance with the ASUW Personnel Policy.
    - ii. The Personnel Director may recommend to the Finance and Budget Director and/or the ASUW President a freeze in ASUW Entity operations. This freeze would follow all normal procedures as dictated in this policy.