

SASFAA Governance and Strategic Planning Committee Assessment

2011-2016 SASFAA Long-Range Plan

2012-2013

**Southern Association of Student Financial
Aid Administrators, Inc.**



May 2013

**Brad Barnett, Chair
2012-2013 SASFAA Past-President**



May, 2013

TO: SASFAA Board of Director
SASFAA Membership

FROM: Governance and Strategic Planning Committee

Brad Barnett, Chair, James Madison University
Sandy Neel, Bellarmine University
Carolyn Sparks, Wofford College
Brent Tener, Vanderbilt University
Brenda McCafferty, Inceptia
Zita Barree, Hampden-Sydney College (ex-officio)

SUBJECT: Assessment of the 2011-2016 SASFAA Long-Range Plan

The SASFAA Mission Statement,

“The Southern Association of Student Financial Aid administrators was founded in order to establish a community of members, who through the sharing of ideas and professional competencies and experiences would serve more ethically and effectively the diverse needs of students, parents, and institutions. The present and future existence of the Association continues to be based on this founding principle.

To facilitate this mission, the Association pledges to support professional communications in all areas concerned with the administration of student educational financing programs. The Association is committed to developing future leaders by actively involving its membership. To accomplish the goals set forth by the Association in a dynamic environment, the Southern Association of Student Financial Aid Administrators offers personal and professional development opportunities and embraces sound principles and practices of aid administration.”

The SASFAA Vision Statement,

“The Southern Association of Student Financial Aid Administrators is a dynamic organization serving practitioners, users and providers of student financial aid programs. This effort occurs in an environment of mutual response and support which encourages questions, discussion and shaping of ideas – thus promoting opportunities, equity and access in and to higher education.”

The charge given each year to the SASFAA Governance and Planning Committee (GAP) is to review the SASFAA Long Range Plan (LRP) and to ascertain to what extent the Board, State Presidents and Committee Chairs, acting on behalf of the membership, achieved the goals and objectives that they established for themselves in response to the 2012-2016 Long Range Plan.

This assessment followed the four major sections identified in the LRP: Organizational Structure; Communication/Collaboration; Professional Development and Finances. Organizational Structure included By-Laws, Board of Directors, Committees, Leadership, Membership and Policies and Procedures. Communications/Collaboration included a section on Legislative Relations.

The committee reviewed the goals and objectives established in the LRP and then evaluated the responses provided by the various Board members, state Presidents and Committee Chairs to determine how they met or did not meet their specific goals and objectives. This evaluation included a review of the activities conducted as well as an assessment as to whether goals and objectives were met.

The final activity of the GAP committee includes the recommendations that are necessary to fully meet the goals and objectives set forth in the current LRP. Much progress was made in 2012-2013; however, the recommendations, if met in future years, will enhance the profile of SASFAA within the financial aid community and better serve the membership.

The GAP committee appreciates the hard work of the Board, state Presidents and Committee Chairs and the SASFAA members who gave of their expertise, time and energy to make SASFAA a better Association. Sincere thanks to each of you for your efforts. We are a better Association because of you.

Note: Year in parenthesis below is the year the goal was initiated.

ORGANIZATIONAL STRUCTURE

By-Laws

GOAL 1: The Bylaws will reflect the mission, vision and purpose of the Association and support the viability of the organization.

OBJECTIVE:

1.1 Review annually to ensure that the By-Laws continue to further the mission of the Association.

Activities:

1. Committee members reviewed the By-Laws.

Assessment:

1. The By-Laws Committee Members reviewed the By-Laws on March 18, 2013. The Committee recommendations will be presented at the board meeting in June.

2012-13 Recommendations:

1. (12-13) The Secretary recommends that if the By-Laws Committee identifies changes that are typos, then the committee should send a request to the President for approval and the changes are immediately updated. The changes should be shared as information at the next board meeting.

Board of Directors

GOAL 2: The terms of the office for elected officers will be of sufficient length to ensure continuity and to complete official business while providing opportunities for new leadership.

OBJECTIVE:

2.1 Review the terms and composition of office of elected officers at least once every five years.

Activities:

1. The composition of the board was reviewed and streamlined in the 11-12 year and carried over to 12-13.

Assessment:

1. Composition of the board was only reviewed as it pertains to committee chairs, not the elected officers.

2011-12 Recommendations Review:

1. The President and President-Elect should determine when a review of the Board should be done and document in what year the Board composition and term limits were reviewed.

Evaluation: Committee composition was reviewed, but not the elected officers. The recommendation was revised and carried forward to 12-13.

2012-13 Recommendations:

1. (11-12) The President and President-Elect should determine when a review of the elected officers of the Board should be done and document in what year the Board composition and term limits were reviewed. This should be accomplished during 13-14.

Goal 3: The advice and assistance provided to the Board of Directors by committee chairs are such that the goals of the Association are readily accomplished, future leadership is developed and board activities remain fiscally responsible.

OBJECTIVE:

- 3.1 Assess the purpose and need for each committee when making committee chair/liason appointments.
- 3.2 Committee goals and objectives should be developed annually to meet the goals of the SASFAA Long-Range Plan and incorporate recommendations from the most recent Governance and Planning (GAP) report.
- 3.3 Consider whether all committee chairs should be in attendance at all Board of Directors meetings, keeping in mind the need to develop future leadership for the Association yet maintaining the ability to conduct business at reasonable cost.
- 3.4 Select an appropriate mix of returning and new committee chairs to ensure that continuity of Association business and the development of future leadership.
- 3.5 Ensure that committee chair appointments, to the extent possible, reflect inclusiveness.
- 3.6 Review the Long-Range Plan annually to monitor progress toward goal attainment.
- 3.7 Evaluate and update comprehensively the Plan every five years.

Activities:

1. Reviewed to make sure each committee was needed to complete the business of the association
2. Annual Goals Spreadsheet completed by all elected officers and committee chairs with the exception of the 2020 Committee. The GAP Committee met April 30 – May 2, 2013 to review the goals and objectives and draft the annual GAP Report.
3. Committee chairs were in attendance at all meetings. Meetings were held in Atlanta and Charlotte thus reducing travel expenses.
4. Of the nine committee chairs, 5 were returning and 4 were new.
5. Of the nine committee chairs, 2 are minority; 2 are from Proprietary schools, 2 are male
6. The GAP Committee met April 30 – May 2, 2013 to review the goals and objectives and draft the annual GAP Report, and make recommendations for the 13-14 year.
7. No activity to report.

Assessment:

1. We had good representation on committees to promote the goals of the association.
2. This process worked well, with the exception of no report being submitted from the 2020 Committee.
3. Attendance spreadsheet provided to GAP. The President determined that all chairs should attend the board meetings.
4. The makeup of the committee chairs was an appropriate mix.
5. The inclusiveness seems to be appropriate.

6. This process worked well, with the exception of no report being submitted from the 2020 Committee.
7. It is not time for this to occur.

2011-12 Recommendations Review:

1. The President must take the Long Range Plan, Policy and Procedures and the Governance and Planning Committee’s recommendations in establishing the goals and objectives for the year while adding personal goals that are approved by the Board of Directors. The goals should be given to each Board member immediately following the Transition Meeting to list the activities planned to meet their established goals and objectives.

Evaluation: Done and carried forward to 12-13.

2. The President-Elect should be involved in the GAP Committee conversations and meetings prior to taking the office of President. This will help in developing the goals and objectives for the year and in assessing the Board’s attainment of the Long Range Plan.

Evaluation: Done and carried forward to 12-13.

2012-13 Recommendations:

1. (11-12) The President must take the Long Range Plan, Policy and Procedures and the Governance and Planning Committee’s recommendations in establishing the goals and objectives for the year while adding personal goals that are approved by the Board of Directors. The goals should be given to each Board member immediately following the Transition Meeting to list the activities planned to meet their established goals and objectives.
2. (11-12) The President-Elect should be involved in the GAP Committee conversations and meetings prior to taking the office of President. This will help in developing the goals and objectives for the year and in assessing the Board’s attainment of the Long Range Plan.

COMMITTEES:

GOAL 4: Committees should be of sufficient size and number and represent the diversity of the membership to accomplish the goals of the Association and to develop future leadership while being fiscally responsible.

OBJECTIVES:

- 4.1 Appoint committee members, to the extent possible, to reflect a practice of inclusiveness.
- 4.2 Ensure that committees with broadly-defined responsibilities such as legislative relations, professional development, and annual conference include at least one representative from each state in the region. Discuss appointments with the current state presidents at the time of selection.
- 4.3 Ensure that committees, unless otherwise specified in the By-Laws or by policy, function with the fewest number of members sufficient to accomplish the goals of that committee.
- 4.4 Ensure that the committee chair, with approval of the Board of Directors, makes every effort to identify an appropriate mix of returning and new members to assure the continuity of committee business and development of future leadership.
- 4.5 Pursue alternatives to on-site meetings whenever possible to keep costs at the most reasonable level. Such alternatives include conference calls, electronic mail and arranging committee meetings in conjunction with other meetings where some committee members would normally be in attendance.

- 4.6 Require that each committee provides a written annual summary of its activities so this information may be included in the president's annual report.

Activities:

1. We had a total of 67 non-chair committee members. Of that, the ethnicity breakdown is as follows: 54 White/Caucasian, 11 Black/African American, 1 Asian, 1 not reported.
In terms of school/sector representation: 10 from Public 2 Year, 25 from Public 4-Year, 16 from Independent 4-year, 1 from Proprietary/Technical, 1 Graduate/Professional, 14 from lender, secondary market, guarantee agency.
The range of financial aid experience was from 1 year to 39 years. Average years of experience of the committee members was 18 years. The median average of financial aid experience was 16.
2. Major committees including Conference, Legislative Relations and Professional Development included committee members from each state.
3. No activities to report.
4. There were a total of 50 new committee members, 17 returning.
5. Most committees met via conference call or met when there was no cost incurred. Conference committee met once in person. PD has met once in person outside of the conference.
6. Some reports have been submitted with the remainder of the reports expected to be submitted once activities for the year are finished.

Assessment:

1. Meets the established goal. Committee chairs did an excellent job of selecting committee members that reflect the diversity of SASFAA.
2. Meets the established goal.
3. Meets the established goal. It appears that the committees are of sufficient size to accomplish their objectives.
4. Meets the established goal. There was a sufficient mix of new and returning members on SASFAA committees.
5. Meets the established goal.
6. This goal is still in progress.

2011-12 Recommendations Review:

1. The Board should continue to explore various options for holding meetings other than on-site meetings. It is recommended that an in-person meeting be reinstated for the Professional Development Committee held at the site of the New Aid Officers Workshop to help build rapport and camaraderie among the instructors. Consider holding one conference committee meeting since it has been proven that a good conference can still be developed holding one meeting with follow-up conference calls.
Evaluation: Done and carried forward to 12-13 with a revision.
2. The President needs to provide the GAP committee with a comprehensive listing of all SASFAA Board and Committee members with demographic information that includes sector type, ethnicity, gender and years of experience. It is the responsibilities of the committee chairs to have each of the committee members complete this document.
Evaluation: Done and carried forward to 12-13.

2012-13 Recommendations:

1. (11-12) The Board should continue to explore various options for holding meetings other than on-site meetings.
2. (11-12) The President needs to provide the GAP committee with a comprehensive listing of all SASFAA Board and Committee members with demographic information that includes sector type, ethnicity, gender and years of experience. It is the responsibilities of the committee chairs to have each of the committee members complete this document.

LEADERSHIP

GOAL 5: Members who possess leadership aspirations and capabilities will be identified and developed for significant involvement within the Association.

OBJECTIVES:

- 5.1 Identify and finance, when financially feasible, one individual annually, other than the President-Elect or Treasurer, to attend the NASFAA Leadership Conference if never attended previously.
- 5.2 Finance, when financially feasible and when needed, the SASFAA portion of the NASFAA inter-regional visitation program.
- 5.3 Provide recognition of state and regional leaders.
- 5.4 Establish a SASFAA leadership workshop, held biannually for developing state member officers and leaders, which may be held at a state conference or the SASFAA annual conference. Efforts should be undertaken to track the effectiveness of the leadership workshop in leading to individuals holding leadership positions within the Association or its member-state associations.
- 5.5 Provide a forum at the SASFAA conference for recognition of any state project(s) submitted to NASFAA.
- 5.6 Provide a scholarship to award to a need-based student in order to recognize the leadership contributions of the SASFAA President to the Association. The scholarship will be awarded at the conclusion of the Past-President year.

Activities:

1. Only the President-Elect was sent to the NASFAA Leadership Conference. No additional individuals were sent.
2. Zita Barree attended the WASFAA Board meeting in Phoenix, AZ. Brent Tener attended the RMASFAA Conference in Omaha, NE.
3. Lisanne Masterson was recognized at the SASFAA Conference as the NASFAA Regional Leadership award recipient. Brent Tener was recognized as the recipient of SASFAA's Distinguished Service Award.
4. Due to budget constraints, the Leadership Symposium was not held in 2012-2013. An assessment was conducted of past symposium participants and the results provided to Brad Barnett and Zita Barree.
5. State projects were recognized at the Monday luncheon at the annual meeting.
6. This has not yet been accomplished but, Past-President Barnett will be selecting a recipient.

Assessment:

1. This was not accomplished, but SASFAA is still in a period of being fiscally frugal, so it is understandable that an additional person was not sent in 2012-2013.

2. Meets the established goal.
3. Meets the established goal.
4. This was not accomplished, but SASFAA is still in a period of being fiscally frugal.
5. Meets the established goal.
6. Meets the established goal.

2011-12 Recommendations Review:

1. Efforts should be made to identify and track past Leadership Symposiums participants to determine leadership positions held. Brent Tener has volunteered to assist in gathering names of past participants.
Evaluation: Done.
2. SASFAA should submit projects for NASFAA award consideration at least every two years.
Evaluation: No award was due to be submitted for consideration in 12-13 as one was submitted in 11-12 (and we won). Carried forward to 12-13.

2012-13 Recommendations:

1. (11-12) SASFAA should submit projects for NASFAA award consideration at least every two years. 12-13 is the second year in the cycle.
2. (12-13) If financially feasible SASFAA should have a Management Institute or Leadership Symposium, as the last two were held in the fall of 2008.

MEMBERSHIP

GOAL 6: The membership of the Association should represent the composition of financial aid professionals in the region.

OBJECTIVES:

- 6.1 Seek to increase membership.
- 6.2 Undertake a review of the membership categories for appropriateness at least once every five years.
- 6.3 Conduct a survey at least once every five years to determine membership needs. The survey should be scheduled two years before the effective date of the next 5-year long-range plan.
- 6.4 Increase membership involvement in activities of the Association.
- 6.5 Monitor the persistence rate of members and analyze the reasons for discontinuing membership.
- 6.6 Incorporate ideas which surface from the membership survey.
- 6.7 Provide mentoring opportunities for new members.
- 6.8 Provide membership services so the needs and interests of all sectors are addressed fairly and equitably.

Activities:

1. Contact regional and state associations to encourage SASFAA membership.
2. No evidence that this was done.
3. No evidence this was done. Membership Chair just stated when last survey was done.
4. No evidence this was done.
5. Review membership statistics from the past 5 years.
6. No evidence that this was done.

7. Establish Executive Board members as mentors for New Aid Officer Workshop attendees.
8. No evidence found that this was done.

Assessment:

1. Contacting other regional associations to increase SASFAA membership is not necessary as SASFAA By-Laws Article IV Membership Section 1(a)(2) states that active members must be located in, or have administrative responsibility in Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee or Virginia. Efforts should continue to be made in reaching out to potential members within the SASFAA region. It should also be noted that SASFAA membership increased from 11-12 to 13-14.
2. N/A
3. N/A
4. N/A
5. The Membership Chair should be commended for reviewing membership data for persistence and analyzing the nonrenewal data.
6. N/A
7. Kudos for beginning a mentoring program.
8. N/A

2011-12 Recommendations Reviews:

1. Reach out to those persons who have not renewed their membership from one year to the next to see why they did not renew and what SASFAA could do to encourage membership.
Evaluation: Membership was solicited through the e-mail, but no evidence of individually reaching out to people who had not renewed their membership was found.
2. Review the most recent membership survey and incorporate any ideas that came forward about membership.
Evaluation: Survey results were reviewed in the August Board Meeting.
3. Develop a mentoring program specifically targeting new members in the association that are not attending the New Aid Workshop.
Evaluation: Executive Board Members were assigned to mentor NAOW participants.

2012-13 Recommendations:

1. (12-13) A review of the membership categories should take place during the 14-15 year.
2. (12-13) Analyzing the data of persistence and non-renewal is fine; however, the data gathered needs to be used to increase membership and reduce the probability of non-renewal.
3. (12-13) Add a question to the membership application inquiring if mentorship is desired. If so, Membership will assign to an appropriate mentor.
4. (12-13) Conduct a membership survey in 13-14 to prepare for the Long Range Plan work, which will begin in 14-15.

POLICIES AND PROCEDURES

GOAL 7: Policies and procedures are accurate and complete in order to provide consistent Associational direction.

OBJECTIVES:

- 7.1 Establish a procedure to ensure that the policies and procedures are accurate and complete and that the Association complies with them. The review should include an analysis of the minutes of each Board Meeting to be sure policy/procedures approvals have been incorporated.
- 7.2 Require that officers and committee chairs review and update policies and procedures under their purview.
- 7.3 Recommendations for policies and procedures changes shall be approved by the SASFAA Board of Directors.
- 7.4 The Secretary shall incorporate policies and procedures as they are approved into the Policy and Procedure Manual.

Activities:

1. P&P will be appropriately updated to reflect all changes voted upon at board meetings, conference calls, or e-meetings. Changes will be forwarded to the Electronic Services Chair for posting to the website.
2. Although it is clear that the Secretary kept up with the P&P manual, it is not evident that all Board members reviewed and updated their sections of the P&P.
3. P&P changes will be appropriately approved by the board and documented by the Secretary.
4. P&P changes will be appropriately updated in the Policy and Procedure Manual.

Assessment:

1. There is no evidence of procedures being established to ensure that the policies and procedures are accurate and complete and that the Association is complying with them
2. It is obvious that the secretary has done a good job with updating the P&P manual when necessary.
3. See number 2.
4. See number 2.

2012-13 Recommendations:

1. (12-13) Section 1.3 (Updating the Manual) of the P&P Manual should be reviewed to ensure the language requires the SASFAA Secretary to update the P&P after each Board approved change and send the new version to the Electronic Services Chair for posting to the SASFAA website.
2. (12-13) The President should include a Major Section/Subsection Goal on the Goals Spreadsheet for each Board member to review their section of the P&P and report if any changes are needed.

GOAL 8: Maintain the records of the Association.

OBJECTIVES:

- 8.1 Establish procedures to maintain and archive the records of the Association at the close of each fiscal year.
- 8.2 Review periodically the methods for maintaining accessibility, retrieval, security and the location for archival of records.
- 8.3 Ensure the accessibility and continuity of the Association's records.

Activities:

1. Records are stored electronically on SASFAA's USB Drive and the University network for safekeeping and updated when necessary. Currently, documents are not transferred to the Electronic Services Chair.
2. No apparent activities were found to support this objective.
3. No apparent activities were found to support this objective.

Assessment:

1. SASFAA records are being maintained, however they are not readily accessible to the membership. Current and previous year's meeting minutes, the Long Range Plan, GAP reports and committee minutes are not on the website for review.
2. N/A
3. N/A

2012-13 Recommendations:

1. (12-13) Although the secretary is responsible for maintaining SASFAA documents, they should also be readily available to the membership on the SASFAA website and in an obvious place.

COMMUNICATION/COLLABORATION

Communications

Goal 09: Facilitate alliances between and among various sectors and members of the financial aid community.

OBJECTIVES:

- 9.1 Work with all sectors of the region's financial aid community to ensure representation and participation in all Association programs and activities.
- 9.2 Serve as a link with and between various sectors of the Association, and as a link between the state associations and the National Association of Student Financial Aid Administrators.

Activities:

1. Used the SASFAA listserv, blog, Facebook, and email to communicate with different sectors of the SASFAA/Financial Aid Community. As a result of the many emails sent to the listserv about legislative issues, many individuals would communicate directly with the Legislative Relations Chair if they had questions or concerns. Selected Business partners from lending community to assist with NAOW. Concurrent sessions represented topics for all sectors. Had involvement from NACUBO and Mental Health Educators. Posting of listserv messages as they are received. Provide all sectors the opportunity to have informational articles (non-advertisement) posted in SASFAA Nine News.
2. Serves as a SASFAA voting representative to the Board of Directors of NASFAA. The Past President has attended all NASFAA Board Meetings as one of two SASFAA voting representative. He is also a member of NASFAA Financial Affairs Committee (FAC) and Board Manual Review Task Force, and posting of listserv messages as they are received.

Assessment:

1. Conference Chair thinks the methods used worked very well to include everyone's concerns. At the recent conference in Atlanta, he received a large amount of feedback from individuals that they really appreciated feeling included and loved the updates sent to inform them of what was going on. They said that SASFAA was more active than any other region (for those vendors for instance that belonged to other regional associations).
2. Beginning in 2013-14 SASFAA will only have one voting member on the NASFAA Board as a result of a change in NASFAA Policy. SASFAA has designated this position to be the SASFAA Past President.

2012-13 Recommendations:

No recommendations.

Communications/Collaboration

Goal 10: Disseminate quality information to enhance communications among members in a timely and cost-efficient manner.

OBJECTIVES:

- 10.1 Improve frequency and quality of communication with members.
- 10.2 Address a full range of issues, ranging from policies to daily operations.

- 10.3 Provide the SASFAA president’s annual report to the membership in accordance with Section 1, Article 7 of the By-Laws.
- 10.4 Use technologies to improve communications with the membership.
- 10.5 Employ marketing/communications strategies to focus information to various segments of the membership and develop outreach materials to market SASFAA effectively to various constituencies.
- 10.6 Develop a volunteer process and communicate it clearly. Consider creating “SASFAA Kits” on committee structure, programs, service, etc.

Activities:

- 1. At the minimum, provide monthly postings to the SASFAA Nine News.
- 2. No activity to report.
- 3. Completion pending 05/01/13.
- 4. Incorporate use of Facebook and other social media to improve communications and outreach.
- 5. Complete the SASFAA Membership Brochure; Post the Brochure to the Website; Send a copy of the brochure electronically to parties interested in learning more about SASFAA.
- 6. No action-84 individuals volunteered during the 12-13 year. This includes Board Members.

Assessment:

- 1. No changes needed.
- 2. N/A
- 3. N/A
- 4. Blog postings were cross-posted on SASFAA Facebook page.
- 5. Positive feedback was received from those who read the brochure.
- 6. Did not happen.

2011-12 Recommendations Review:

- 1. (11-12) Create SASFAA Kits on committee structure, programs, services, activities etc. Ensure members know how to volunteer and use every volunteer on a committee or project. *Evaluation: A membership kit was not created, but it was reported that the membership brochure was posted to the SASFAA website, sent it to interested parties, and membership increased.*

2012-13 Recommendations:

- 1. (12-13) Consider removing the second sentence in Objective 10.6 that refers to the creation of the “SASFAA Kits” when developing the next Long Rang Plan.
- 2. (12-13) Assessment of the website, specifically the maintenance and organization of content, in 12-13. This includes implementing any changes identified during the assessment process.
- 3. (12-13) Make the listserv available for all SASFAA members to post.

Legislative Relations

GOAL 11: Apprise members of legislative issues affecting the profession, educate members of alternative approaches, encourage involvement on issues and advocate positions when reasonable consensus exists.

OBJECTIVES:

- 11.1 Promote the SASFAA region's role in the higher education community.
- 11.2 Increase SASFAA members' awareness of the potential effect and outcome of legislative issues, proposals and actions.

Activities:

1. SASFAA members serving on the NASFAA Board made Hill visits as part of a NASFAA initiative. Additionally, some SASFAA members made Hill visits as part of a legislative initiative with EASFAA, MASFAA, and Tri-States. Regional Federal Relations Conference Calls at least monthly with the NASFAA staff.
2. Used the listserv, email, blog, and Facebook to inform members of important legislative issues, changes in higher education funding, and other items. Communicated directly with NASFAA frequently with questions to make sure information was accurate. Made sure that SASFAA had a "seat at the table" during legislative discussions. Also, used email to communicate with the state chairs, which were all on the SASFAA Legislative Relations Committee. Communicated with other regional chairs via the monthly NASFAA/FRC Conference calls and privately as a regional group as well.

Assessment:

1. Continue to encourage visits with Congressmen.
2. Since Amy Berrier took over from Michael Poma in 2011 as Chair, chairs have had difficulty obtaining a response from state agencies as far as what is going on in their state. She would encourage future chairs to continue to reach out to the state agencies and lending community, but since things have changed so much since the elimination of FFEL, it makes it difficult to include everything or sometimes you don't even get a response.

2011-12 Recommendations Review:

1. Continue to have joint legislative advocacy with other regions.
Evaluation: Done and carried forward to 12-13.

2012-13 Recommendations:

1. (11-12) Continue to have joint legislative advocacy with other regions.
2. (12-13) Identify one person from each state to be the "state" legislative contact person.

PROFESSIONAL DEVELOPMENT

Professional Development

GOAL 12: The professional growth and competencies of members are addressed by offering workshops, seminars, meetings and other training opportunities.

OBJECTIVES:

- 12.1 Determine the training and professional development needs of members, recognizing categorical distinctions among members such as experience, institutional type, constituencies served and level of responsibility.
- 12.2 Continue to develop and offer an annual conference which integrates observations gathered from conference evaluations, membership and professional development surveys, and consideration of current issues and educational trends and the perceived need of members.
- 12.3 Provide such a conference which incorporates cost-saving measures to encourage participation, emphasizes content, and is self-supported.
- 12.4 Provide a varied conference agenda incorporating legislative, regulatory, public policy and operational topics, as well as, competencies in management and human relations.
- 12.5 Foster collaborative training and professional development opportunities between state members, other regional associations and NASFAA.
- 12.6 Invite and plan interactions and discussions with higher education associations such as SACUBO, SACRAO and COHEO.
- 12.7 Recognize, encourage, and support the development of informal networking strategies for sharing information and locating job opportunities.
- 12.8 Encourage worthy and thought-provoking research, publications and presentations by members.
- 12.9 Recognize and provide opportunities for pre- and post-conference professional development experiences.
- 12.10 Continue to provide an annual, comprehensive training workshop to provide new aid administrators with the basic framework of knowledge to administer student financial assistance programs.
- 12.11 Identify experienced members to serve as faculty for planning and conducting professional development programs of the Association.
- 12.12 Choose training sites which are centrally located within the SASFAA region, accessible to attendees, affordable, and educationally suitable for the intended participants.
- 12.13 Offer periodic opportunities specifically for experienced aid administrators to grow in leadership and management.

Activities:

1. Vice President reported requesting feedback from the state presidents, SASFAA Officers, and membership regarding the type of training needed. Additionally, he reported no feedback was received in response to these requests.
2. Conference Chair put out a call for conference sessions to the membership in August/September with an October deadline. Evaluation system was in place for conference attendees to provide immediate feedback of the sessions via a new electronic process.
3. Conference was self sufficient in funding, and some additional cost savings were realized with the hotel paying for the closing night reception to compensate SASFAA for the issues

with the hotel. Vendor/Sponsor executed the objective via the RFP process with drayage companies.

4. Conference program incorporated these in concurrent and general sessions.
5. NASFAA President participated in one day of the annual conference.
6. NACUBO National Chair was invited to, attended, and presented a concurrent session at the annual conference.
7. Lunch on your own was part of the conference program to provide this unstructured opportunity.
8. Conference committee continued to develop and offer an annual conference, which included requesting session proposal from the membership. There was not a pre-conference new aid officer's workshop offered at the annual conference. It was reported that this was done intentionally to see if not offering this pre-con would impact attendance at the Summer New Aid Officer's Workshop. Outside of the President-Elect Workshop, there were no other pre-con workshops offered this year.
9. Outside of the President-Elect Workshop, no pre-conference workshops were offered.
10. A pre-con New Aid Officer's Workshop was not offered in conjunction with the annual conference; however, the weeklong summer New Aid Officer's Workshop is scheduled to take place in June at Auburn University.
11. Twelve experienced and knowledgeable SASFAA members were selected to be instructors at the summer New Aid Officer's Workshop. The 2014 Conference Committee Chair has been selected, and pending board approval, a diverse representation of the membership has been selected as members of the committee. The tentative 2014 Conference Committee was in attendance at the 2013 annual conference.
12. The Peabody Hotel in Memphis, TN was secured for the 2015 conference (2014 site was secured last year). Summer New Aid Officer's Workshop site was selected to be Auburn University in Alabama.
13. The March planning meeting for the summer New Aid Officer's Workshop was added back to the budget for the first time in a few years.

Assessment:

1. Methods used to solicit feedback should be re-evaluated if no response was received from the state presidents, SASFAA Officers, or the membership.
2. If electronic session evaluation process continues, an option for offering manual evaluations will need to be considered as not all of the membership has access to the on-line technology.
3. All parties involved with the conference should be commended for coming in under budget, especially with this being the 50th anniversary. Conference Committee is approximately \$14,000 under budget as of April.
4. Priority should continue to be placed on providing sessions/training understanding the legislative process and ways to gain confidence when communicating with legislative officials.
5. SASFAA should reassess the possibility of using NASFAA Trainers at the annual conference.
6. Continue reaching out to other higher education associations to be active participants in our annual conference, as well as engage in other projects and discussions.
7. It is difficult to "facilitate" networking by merely providing free time.
8. The conference included presentations from seasoned professionals and reached out to the membership to solicit session proposals. However, membership should be encouraged to provide research and thought provoking articles and presentations in SASFAA Nine News as well as the conference. The GAP Committee is unable to find any methodology that would

show whether offering a New Aid Officer's pre-con workshop would impact attendance at the summer workshop. The pre-con would have been held in February in Georgia while the summer workshop is held in June in Alabama. Not offering a pre-con in conjunction with the conference is a lost opportunity for new and less experienced members. Additionally, this decision was made without consultation of the Board and this pre-con is a long-standing tradition of SASFAA conferences.

9. Pre-conference workshops are a great way to bring attendees to SASFAA, and in the past have ended up being revenue generators in some circumstances. Not having the New Aid Officer's pre-con workshop is a lost opportunity and break in a long-standing SASFAA tradition of holding this event.
10. As of the writing of this report there is no information available to assess the summer New Aid Officer's Workshop. GAP's assessment of the pre-con event is that it should be brought back.
11. Selecting the 2014 Conference Committee in conjunction with the 2013 annual conference gives the 2014 committee the opportunity to begin work early on the event. This includes observing the 2013 conference to garner ideas for next year's event. With the summer New Aid Officer's Workshop instructors, it would be wise for Vice President's to have "back up" instructors who agree to serve should a vacancy arise with one of the selected twelve, as it is fairly common for this to occur prior to the workshop.
12. The site locations can better be assessed at the conclusion of the events.
13. It is good to see the March New Aid Officer's Workshop planning meeting being added back to the budget to facilitate this workshop and the leadership of the staff.

2011-12 Recommendations Review:

1. Priority should be given to determine the training and professional development needs of members, recognizing categorical distinctions among members such as experience, institutional type, constituencies served and level of responsibility. Specific questions should be considered on all events survey/evaluations as well as a listserv solicitation for training needs.
Evaluation: The conference met the recommendation. A message was not sent to the listserv soliciting general training needs.
2. There needs to be survey instrument coordination with current conference chair and future conference chair in order to gather current conference evaluations, membership and professional development surveys, and consideration of current issues and educational trends and the perceived need of members. It is crucial evaluations are distributed timely after each conference and training/workshop event.
Evaluation: Done and carried forward.
3. It has been proven under past conference leadership onsite meetings should be limited to maximum of one two night meeting with the location being at the conference hotel. All other business should take place via conference calls and emails. Each conference chair should pay close attention to budget cutting activity. It should not be assumed the entire conference committee needs to arrive Friday afternoon. Well-planned conferences should only need to bring in the committee members as their onsite tasks are needed to minimize cost to the organization.
Evaluation: Done.
4. Priority should continue to be placed on providing sessions/training understanding the legislative process and ways to gain confidence when communicating with legislative officials. Efforts should continue to include topics on public policy and operations as well as competencies in management and human relations.

- Evaluation: Done and carried forward to 12-13 with changes.*
5. Every effort should be given to invite and plan interactions and discussions with higher education associations such as SACUBO, SACRAO and COHEO.
Evaluation: Done and carried forward to 12-13.
 6. The conference committee should consider adding an event or time free from sessions to encourage networking.
Evaluation: Done.
 7. It is highly recommended that the membership is solicited at a minimum to gather conference topics and sessions.
Evaluation: Done.
 8. It is recommended that SASFAA solicit additional revenue by offering pre-conference opportunities for the exhibitors/sponsors using rooms reserved for SASFAA, and SASFAA charging the exhibitor/sponsor to use the room.
Evaluation: This was not done.
 9. Review prior year training to identify level and/or sectors for which training should be offered and not assuming certain pre-conference workshops be offered annually.
Evaluation: There is some question as to whether it was done.
 10. Written guidelines should be created and provided to state presidents and board members to use to nominate instructors and development partners for the New Aid and Mid-Level Workshops. The information will provide vital information the vice president should use as instructors and development partners are selected and will ensure a diverse committee.
Evaluation: Done and being carried forward to 12-13 with modifications.
 11. Site Section should give consideration to soliciting locations other than the conference state for other training events within the same year.
Evaluation: Done.
 12. SASFAA should consider continuing the Management Institute and/or Leadership Symposium in the future if they can be offered in a cost effective manner.
Evaluation: Did not fit in the budget this year, but will be carried forward to 12-13.

2012-13 Recommendations:

1. (11-12) There needs to be survey instrument coordination with current conference chair and future conference chair in order to gather current conference evaluations, membership and professional development surveys, and consideration of current issues and educational trends and the perceived need of members. It is crucial evaluations are distributed timely after each conference and training/workshop event.
2. (11-12) Priority should continue to be placed on providing sessions/training understanding the legislative process and ways to gain confidence when communicating with legislative officials. Efforts should continue to include topics on public policy and operations as well as competencies in management and human relations.
3. (11-12) Every effort should be given to invite and plan interactions and discussions with higher education associations such as SACUBO, SACRAO and COHEO.
4. (11-12) It is recommended that SASFAA solicit additional revenue by offering pre-conference opportunities for the exhibitors/sponsors using rooms reserved for SASFAA and SASFAA charging the exhibitor/sponsor to use the room.
5. (11-12) Job descriptions in the Summer Workshop Guide should be provided to state presidents and board members to use to nominate instructors and development partners for the New Aid and Mid-Level Workshops.
6. (11-12) Site Selection should give consideration to soliciting locations other than the conference state for other training events within the same year.

7. (11-12) SASFAA should consider continuing the Management Institute and/or Leadership Symposium in the future if they can be offered in a cost effective manner.
8. (12-13) Vice President should solicit membership for training needs and conduct an environmental scan to determine specific topics we may want to include in training activities.
9. (12-13) Bring back the pre-conference New Aid Officer's Workshop. This is a long-standing SASFAA tradition and provides a wonderful opportunity for new attendees to receive specialized training, as well as to promote the summer workshop.
10. (12-13) The conference committee should consider adding an event to encourage networking.
11. (12-13) The conference committee should promote the "job board" available during the conference, and in the pre-conference materials let the membership know it will be available for conference attendees to post jobs free of charge at the event.
12. (12-13) It is recommended that SASFAA solicit additional revenue by offering pre-conference opportunities for the exhibitors/sponsors using rooms reserved for SASFAA and SASFAA charging the exhibitor/sponsor to use the room.
13. (12-13) Site Section should give consideration to soliciting locations other than the conference state for other training events within the same year.
14. (12-13) If financially feasible SASFAA should have a Management Institute or Leadership Symposium, as the last two were held in the fall of 2008.

FINANCES

FINANCES

GOAL 13: Fiscal integrity will be ensured.

OBJECTIVES:

- 13.1 Adhere to the practices outlined in the SASFAA Guide to Financial Management.
- 13.2 To ensure adequate organizational reserves are available, a zero based budget should be developed and maintained.
- 13.3 Review the SASFAA Guide to Financial Management annually to ensure the continuation of sound financial practices.

Activities:

1. Expense & travel claims and other bills paid. Deposits posted. All reimbursement requests have been paid upon receipt. Payments for registrations, membership dues and sponsorships have been received and posted. All bills have been paid upon receipt. Financial reports have been submitted to the Board at each meeting and at the annual business meeting. The 2011-2012 records were reviewed by the Budget & Finance Committee on October 24 and October 25, 2012. IRS form 990 was filed timely, as was the Georgia State return. The GA Incorporation record was updated in July 2012 to reflect the agent's correct address. It was updated again on March 12, 2013, to reflect newly elected officers. A request for refund for NC taxes paid for the November 2012 board meeting was submitted on January 18, 2013 for \$423.99. In Quickbooks, chart of accounts was updated to include new lines and all investment accounts. Credit applications completed as needed, including 2013 conference. Mike Dunn of the Blankenship CPA firm completed the 2011 federal tax return 990 and 990T. Nancy Garmroth, Treasurer responded to all questions. The federal exempt organization return was filed electronically with the IRS on August 7, 2012, which is prior to the November 15 filing date. At the time this report was written, line items were well within the limits. Ninety percent (90%) of income had been realized and only 51% of budgeted expenses were incurred. The two major expenses after this report will be transition and NAOW. In general committee chairs and others are working diligently to ensure expenses are within the approved amounts. The treasurer submitted all necessary reports to Mike Dunn – SASFAA's accountant prior to the August board meeting. He prepared the report and it will be submitted to the President for signature and filing by the established deadline.
2. A zero based budget was emailed to the board on July 16, 2012. It was requested that each individual review the budget and submit suggestions or concerns to the Budget and Finance Chair prior to the August board meeting. A zero based budget was presented and approved by the board. During the August board meeting, the Budget and Finance Chair reminded all board members of their fiduciary responsibilities and encouraged everyone to stay within their respective budgets as well as to submit the necessary documentation in a timely manner.
3. The committee reviewed the GFM during our face-to-face annual financial review and submitted proposed changes in the November board meeting. The SASFAA Policy and Procedure Manual was updated and updates to the GFM included the Corporation Registration 5.6; Music Contracts 5.3.1 and the Guide to Investments Section 3. The Budget and Finance Committee met in Nashville, TN on October 24 – 25, 2012 to conduct the annual review of the financial records. The committee also reviewed the Policy and Procedure

Manual and the Guide to Financial Management and has provided suggested revisions as part of the financial review.

Assessment:

1. Records are up-to-date. Bills have been paid within the 30 day requirement. Quickbooks updated to include all investment assets, and the balance sheet was added to the financial report. Old accounts that were deleted were removed and all new assets reflected on the balance sheet - e.g. CDs, short duration bond funds, etc. All interest, dividends and capital gains are now being correctly recorded as is miscellaneous income. Compliant with federal, state and other reporting deadlines. Recommend not paying Incorporation fee until March so that new officers can be added (prior to 2012 the fee had been paid in January but is not due until April). Chart of accounts and balance sheet in Quickbooks are up-to-date. Balance sheet needs to be a Memorized Report so that old, deleted (no longer used) bank accounts are not reflected. Mike Dunn continues to be responsive to questions and completes SASFAA work in a timely manner.
2. Zero based budget process is effective. In the February board meeting a committee chair asked if he/she could spend their budget dollars for a particular item. The individual did not realize that the funds in his/her line item was already dedicated for travel expenses to the transition meeting. The Budget and Finance Chair explained those dollars were allocated and the board would need to vote to reallocate some funds (which they did).
3. Due to cost restraints, meeting at the treasurer's location was not the most affordable option for the annual review. Budget and Finance Chair offered to return the records to the Treasurer, however Treasurer indicated it was her second term in office and she did not need them for reference materials.

2011-12 Recommendations Review:

1. Continue to use an outside accounting firm.
Evaluation: Done and carried forward to 12-13.
2. Every effort should be made to insure that either the treasurer or Budget and Finance Chair have board experience in their position. (When a new Treasurer is elected the Budget and Finance Chair should be in their second year of service.)
Evaluation: In 12-13 the Treasurer and Budget and Finance Chair were both in subsequent years of services. It was not possible for the February 2013 slate to meet this goal because the current Budget and Finance Chair was stepping down to run for another office at a time when the Treasurer position was up for election. Carried forward with modifications and assign this to the President-Elect.
3. Zero based budgeting should be continued.
Evaluation: Done and carried forward to 12-13.
4. The SASFAA Guide to Financial Management should include a statement requiring that the committee performing the annual financial review be done in a face-to-face setting. This should be done at the treasurer's location so that financial records remain intact and the treasurer can assist in the review.
Evaluation: The review took place but did not take place at the Treasurer's location. Modified and carried forward to 12-13.
5. A committee should be appointed to determine if it is possible to synch banking records and Quickbooks to avoid duplicative data entries.
Evaluation: Recommendation was not done and carried forward to 12-13.

2012-13 Recommendations:

1. (11-12) Continue to use an outside accounting firm.
2. (11-12) Every effort should be made to insure that either the Treasurer or Budget and Finance Chair have board experience in either of these two positions.
3. (11-12) The SASFAA Guide to Financial Management should include a statement requiring that the committee performing the annual financial review be done in a face to face setting. This should be done in such a manner so that financial records remain intact and the treasurer can assist in the review.
4. (11-12) A committee should be appointed to determine if it is possible to synch banking records and Quickbooks to avoid duplicative data entries.
5. (12-13) Budget and Finance is suggesting the location of the annual review be based on a central location to the committee members, not at the Treasurer's location, as that might not be the most affordable option. Many of the records are being scanned in as on-going effort to keep digital records. The Treasurer should be available to answer questions during this review, but this does not necessarily mean the Treasurer must be present at the face-to-face meeting.
6. (12-13) The current Treasurer was wonderful and submitted all the necessary tax information in a timely manner. However, for the integrity of the organization, it is beneficial to have the Budget and Finance Chair tasked with ensuring this happens in a timely manner. This should be especially helpful in the first year of the Treasurer's term when they are still learning.

GOAL 14: The future financial stability of the Association is provided through careful and regular planning and evaluation.

OBJECTIVES:

- 14.1 Determine the appropriateness of fees access for dues, the annual conference, workshops and ancillary services including vendors, at least every five years.
- 14.2 Provide for the establishment, maintenance, investment and monitoring of an Associational reserve fund which is sufficient to cover at least one year's operating expenses and any outstanding contractual obligations.
- 14.3 Monitor, review and revise as necessary, the Association's investment strategy for positioning the Associations finances.
- 14.4 Review routinely all risk and liabilities affecting cash management and contractual obligations.
- 14.5 Determine the appropriate cash balance to be brought forward annually.
- 14.6 Incorporate the financial impact of vendor sponsorship in the budget planning process annually.

Activities:

1. This was a part of the process to determine the annual budget.
2. As of June 30, 2011 SASFAA's assets totaled \$715,977. The 2012-2013 approved budget at the time this report was written was: \$310,380 and the total contractual obligation was \$149,480.
3. Jeff Stanley from Edward Jones attended the November meeting in Concord, NC. The board reviewed the GFM and added language to provide clarity. The short-term and long-term investment strategies were reviewed, and an updated approach was approved by the board at the November board meeting.

4. This process has not always followed the established guidance. Please note: The Site Selection Chair is very capable, so this is not a slight on her skill set. However, as a safeguard this procedure should be followed. The Treasurer has provided monthly bank reconciliations. The cash balance and expenses have been reviewed. Contracts have been provided (with the exception of the summer New Aid Officer's Workshop agreement) and liability has been accessed.
5. The GFM was updated to provide additional guidance. It now states: The size of the Operating Fund is approximately 15% – 25% of total assets but not less than \$100,000.
6. Sponsorship Chair was consulted in the development of the annual budget and his recommendations were presented to the board.

Assessment:

1. This should continue.
2. Figures are within established parameters.
3. This should be reviewed at a minimum every couple of years and possible annually. As the economy continues to change, the strategy must also be reviewed and adjusted when needed.
4. The incoming president should review the established cash management and contractual obligation procedures with the applicable committee chairs. The Budget and Finance Chair should be included in contract reviews and should receive the signed contract within 30 days of it being signed by the President. Please note: Current policy indicates the Budget and Finance Chair should be a part of the contractual reviews; however, this has not always been followed. Having another person on the board review the contract and evaluate it for liability purposes is a practice that provides additional safe guards for the organization.
5. This should continue.
6. Sponsorship opportunities to ensure funding was developed and submitted to the Executive Board for approval. The Board approved these and they were used for 2012-2013. The sponsorship solicitation for 2012-2013 has resulted in 38 exhibitors, including 10 first-time exhibitors, and one non-exhibiting sponsor. Total revenue for Vendor/Sponsor/Patrons and Advertising was \$105,000, which exceeds the budgeted revenue of \$100,000. The 2012-2013 revenue level compares to \$79,125 in 2011-2012, \$72,650 in 2010-2011 and \$69,900 in 2009-2010. The Sponsorship Chair should be commended for his work in securing these funds for SASFAA.

2011-12 Recommendations Reviews:

1. Continue to ensure that reserves total 100% of the one year operating budget and contractual obligations should always be less than the total reserves.
Evaluation: Done and carried forward to 12-13.
2. Stress to the entire board the responsibility and importance of working within an established budget.
Evaluation: Done and carried forward to 12-13.

2012-13 Recommendations:

1. (11-12) Continue to ensure that reserves total 100% of the one year operating budget and contractual obligations should always be less than the total reserves.
2. (11-12) Stress to the entire board the responsibility and importance of working within an established budget.
3. (12-13) SASFAA liabilities should be tracked in QuickBooks, then the obligations would appear in reports as an offset to the reserves. This information might be helpful to the membership at large who is not aware of the organization's contractual obligations.