

Governance and Planning Committee

1998-99 Evaluation of Compliance with SASFAA Long Range Plan

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ORGANIZATIONAL STRUCTURE

EXECUTIVE BOARD

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

OBJECTIVE:

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

Activities:

The nominations and elections committee recommended to the SASFAA Board of Directors at the November meeting that the office of treasurer be comprehensively reviewed in light of the fact that the association has grown in size and financial complexity. They requested this action based on concerns expressed by potential candidates for treasurer. In addition, Treasurer Gibson supported the need to examine the roles and responsibilities of the treasurer to include considerations for distribution of workload, ensure appropriate internal controls, provide for coordination among relevant committee chairs and increase efficiencies. President Little, with the consensus of the board of directors, established the treasurer/financial task force. This task force met March 28-30, 1999 in Louisville, KY to review the terms, responsibilities and composition of the office for treasurer. The report of this group and their recommendations will be presented to the board in June.

The nominations and elections committee, chaired by Past President Carol Mowbray, was able to identify a dual slate of qualified candidates for the positions of president-elect, vice president and treasurer. The position descriptions were accessible to all members on the web site and included in the mailed solicitation in the newsletter. The nominations & elections committee developed a slate of potential candidates for President Little and President-elect Givhan to use in visiting with the membership of SASFAA member states to encourage leadership, participation in SASFAA and interest in running for elected office.

Vice President Cox developed a preliminary proposal for the November board meeting to suggest the creation of a vice president-elect position. The proposal was tabled until additional detail regarding the proposal is developed for board consideration

Assessment:

President Little and the board are to be commended for establishing the treasurer/financial task force to fully consider the duties and responsibilities of the position of treasurer.

The nominations & elections committee presented a highly qualified dual slate of candidates and identified a listing of potential, future leaders.

Recommendations:

None

GOAL: Ensure that the advice and assistance provided to the executive board by committee chairs are such that the goals of the association are readily accomplished, future leadership is developed, and board activities remain fiscally responsible.

OBJECTIVES:

- Assess the purpose and need for each committee when making committee chair/liaison appointments.
- Consider whether all committee chairs should be in attendance at all executive board meetings, keeping in mind the need to develop future leadership for the association yet maintaining the ability to conduct business at the lowest, most reasonable cost.
- Select an appropriate mix of returning and new committee chairs to ensure the continuity of executive board business and the development of future leadership.

Ensure that committee chair appointments, to the extent possible, reflect the sector, gender, and ethnicity representative of the association.

Activities:

President Little appointed eight committee chairs (budget, communication, conference, legislative relations, membership, newsletter editor, sponsorship, and site selection) and four agency liaisons (foundation, state agencies, lending agencies, and U.S. Department of Education) and two task forces (scholarship and treasurer/finance). Other committees are under the purview of the elected officers (by-laws, nominations and elections, awards, governance and planning). U.S. Department of Education representatives rotated their attendance so that one representative could attend each of the board meetings.

Of the 12 positions open to the president, five of the individuals appointed did not serve in the same capacity as a board member/committee chair in the previous year (conference, membership, newsletter editor, sponsorship and lending agency liaison). Each committee chair was invited to attend all four board of directors meetings.

Committee chairs and liaisons represented eight of the nine member states and the U.S. Department of

Education liaison represented two of the three SASFAA federal regions. Sectors represented were four year public (5); four year private (2); lender/guarantor (3); and, foundation (1); community college and proprietary (0).

Make up of the committee chairs and agency liaisons was: 13 Caucasians, one African American, nine males and five females.

Assessment:

The organizational structure of the association's committees and liaisons was reasonable to accomplish the work of SASFAA. There was good representation by member states. Qualified individuals serving for the first time as a committee chair as well as reappointments formed an excellent framework for new perspectives and leadership development as well as continuity in vital services.

Recommendations:

The GAP committee supports the recommendation of the 97/98 GAP committee to review the position of foundation liaison to align it with SASFAA associational responsibilities, and in particular to address archiving documents and records.

The GAP committee recommends review of the appointments of communications, site selection and state agency liaison to the long-range plan so that a chair does not serve for longer than three consecutive years in the same position. This is in keeping with the recommendations set out in the long-range plan.

The GAP committee recommends that appointments reflect each member state and sector representation.

COMMITTEES

GOAL: Ensure that committees are of sufficient size and number to accomplish the goals of the association and to develop future leadership while being fiscally responsible.

OBJECTIVES:

- Appoint committee members, to the extent possible, who represent the sectors, genders, and ethnicity of the association.
- Ensure that committees with broadly defined responsibilities such as legislative relations, professional development, and the annual conference include one representative from each state in the region.
- Ensure that other committees, unless otherwise specified in the By-Laws, function with the fewest number of members sufficient to accomplish the goals of that committee.
- Ensure that the committee chair, if responsible for making his/her committee appointments, make every effort to select an appropriate mix of returning and new members to assure the continuity of committee business and development of future leadership.
- Consider 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.
- Ensure that committee meetings are held at such times and locations that keep travel and lodging costs to a reasonable level.
- Ensure that each committee provides a written annual summary of its activities so this information may be included in the president's annual report.

Activities:

President Little appointed eight committees that are not determined by the by-laws of the association and four liaisons. Committee composition for communications and site selection consisted solely of the committee chair. Budget, membership, newsletter and sponsorship had two to three members each who were selected based on prior experience with the committee's activities and/or relationship with another committee (i.e. sponsorship and conference committee), or submission of volunteer form indicating interest in the work of the committee. The overall composition of members serving on committees excluding legislative relations, special projects and the two task forces, was two black males, 11 white males, four black females and 17 white females.

Professional development had representation from eight states with the exception of Alabama. Ex officio members and lender assistants are not included as members of the committee. The site coordinator for the New Aid Officers Workshop is not a SASFAA member and was excluded. All sectors except for proprietary schools were represented in the instructional staff.

Conference committee included representation from all states except Florida. South and North Carolina had two committee members each. All sectors except for community colleges were represented.

The legislative relations committee chair did not submit an annual year-to-date report; therefore, assessment could not be conducted.

It appears that effort was made to hold committee meetings, to the extent possible, in conjunction with other activities to reduce the costs of the meetings. Conference held meetings when the board met; nominations and elections and governance and planning committees piggy backed their meetings with state association meetings (Tennessee and Georgia); and several committees met during the annual conference. These efforts were made also with the recognition that other committee members were in attendance at the state or regional meeting.

Assessment:

The February 12, 1999, budget summary provided by the treasurer did not permit the GAP committee to assess committee expenditures and revenue in relationship to the approved budget.

Committees/task forces are to be commended for electronic communications as an economical alternative to in-person meetings. In particular, conference, management institute, federal relations, professional development, board of directors, budget, newsletter, and sponsorship effectively used electronic communications to further the work of the committee. When feasible committees met in conjunction with other state and regional activities to reduce the cost of meeting.

The GAP committee commends the board of directors for the support and formation of the audit subcommittee, the editorial board, expansion of the sponsorship committee and the scholarship and treasurer/financial task forces. These promote attainment of the goals and objectives of the association, continuity and development of future leadership.

It appears that committee chairpersons did review prior recommendations from the long-range plan and GAP reports. Many of the recommendations appear to have been enacted and this review activity should be continued (see

appendix summarizing recommendations).

Recommendations:

The GAP committee recommends that strong consideration be given to outsourcing the technical development and maintenance of the web page with coordination of information and oversight assigned to the communications chair or newsletter editor.

The GAP committee recommends that the membership of the conference committee be carefully reviewed to include sectoral and state membership reflective of the membership of SASFAA. In addition, the GAP committee recommends that the chair of the conference committee represent his or her state and that the future appointment for the conference chair represent his or her state to avoid duplication of state membership and promote fiscal responsibility.

In order for the GAP committee to effectively assess committee activities, each committee/task force chair, officer and liaison should submit a year-end report prior to the meeting of the GAP committee. In addition, a budget summary of expenses and revenues needs to be prepared through April 15 and provided to the committee. Legislative relations, lending liaison, treasurer/finance and scholarship task forces and U.S. Department of Education liaison reports were not available. The Budget Summary Report was dated February 12, 1999 and therefore did not provide sufficient detail regarding expenses and revenue for the GAP committee to analyze in relationship to committee goals and objectives.

The GAP committee recommends that all year-end reports be submitted in the same format. The format was provided by the president in the 1998-1999 Executive Board, Committee Chairperson, and Agency Liaisons Responsibilities on July 25, 1998.

MEMBERSHIP

GOAL: Ensure that the membership of the association represents the composition of financial aid professionals in the region.

OBJECTIVES:

- Review membership categories and aggressively seek to increase membership in under-represented areas.
- Undertake a review of the membership categories for appropriateness at least once every five years.
- Review membership structure at least once every five years to determine if membership should be individual, institutional or on some other basis.

Explore additional membership categories such as associate (non-voting) membership for former aid administrators, students, guidance counselors, or others.

Activities:

Lisa Tumer, membership chair maintained the database. With the approval of the board of directors, the membership committee developed a survey that was mailed on April 19, 1999. The results of the survey will be tabulated for the June transitional board meeting.

Assessment:

The GAP committee recognizes that Lisa Tumer graciously accepted the position of membership chair, after the planning year had begun, upon the departure of Billie Jo Hamilton. Ms. Tumer is to be commended for the maintenance of the membership database as well as preparation of a membership survey.

Recommendations:

The GAP committee recommends that future year-end reports include a breakdown of membership by school type, state, experience levels, and status (i.e., paid, honorary and complimentary) and comparisons of these for the three most recent years.

The GAP committee recommends that SASFAA membership categorizations be thoughtfully considered by relevant committee chairs in light of the services and activities provided by SASFAA (i.e. professional development and conference).

The GAP committee recommends that every two years, the membership committee identify non member institutions and invite membership in SASFAA. This was last done by the membership chair in 1997-98 by comparing SASFAA membership with the listing of Title IV school codes in the region. It is suggested that the membership committees develop a brochure highlighting the benefits of membership for such a mailing and also make it available on the web page. This should be undertaken in the 1999/2000 fiscal year.

According to the Long Range Plan, membership surveys have been conducted in 1988/89, 1991/92 and 1998/99. The GAP committee recommends that such surveys be conducted at least every five years and that the results be used in long-range planning considerations.

POLICIES AND PROCEDURES

GOAL: Ensure that the By-Laws and policies and procedures are accurate and complete, further the mission of the association, ensure fiscal integrity, and support the viability of the association.

OBJECTIVES:

- Establish a procedure to ensure that the By-Laws and policies and procedures are accurate and complete and that the association is in compliance with these rules.
- Review the By-Laws and policies and procedures annually to ensure that they continue to further the mission of the association and its financial integrity.
- Ensure that officers and committee chairs are responsible for the review and updating of all policies under their purview.
- The secretary shall be responsible for reviewing and updating as appropriate, all other policies and procedures.
- Ensure that any recommendations for policies and procedures changes be approved by the SASFAA board.
- Obtain copies of policies and procedures from state associations in the region, as well as from other regional associations once every five years to identify areas of potential weaknesses in SASFAA's policies and procedures.

Activities:

The treasurer/financial task force in their draft report indicated that the responsibilities and duties of treasurer, secretary, conference chair, vice president, local arrangements, and summer workshop site coordinator were compared to the Financial Management Guide. The Financial Management Guide needs to be revised to align with the Policy and Procedure Manual. The communications committee continues to monitor and provide policy and procedure guidance. The nominations and elections committee updated the Policy and Procedure Manual with respect to voting procedures, specifically, the publication of photographs. The conference committee found no revisions to policy or procedure were needed.

The nominations and elections committee referred the proposal on a mail in voting process to the nominations and elections committee for 1999-2000. Any proposal would require a review to the By-laws of SASFAA.

Assessment:

Secretary Luhman, President Little, and the committees, officers, et al are to be commended for the development of a SASFAA Planning Calendar for inclusion as an appendix of the Policy and Procedure Manual.

Secretary Luhman has provided timely updates to the Policy and Procedure Manual as well as to the Board members following each board meeting. Communications chair, Karen Fooks, has added all source documents and updates to the web page and is to be recognized for her diligence in doing so.

Recommendations:

The GAP committee recommends that the Financial Management Guide be revised to be consistent with the Policy and Procedure Manual. The GAP committee recommends that the Guide be rewritten in the same format and style as the Policy and Procedure Manual. Ken Player, chair of the budget committee, recommends that the audit review procedures be analyzed further to maximize the association's ability to safeguard its assets at the least cost.

The GAP committee recommends that each committee/task force chair, agency liaison and officer be charged by the secretary annually with a review and update of the Policy and Procedure Manual as related to its activities.

COMMUNICATION/ COLLABORATION

GOAL: Enhance alliances between and among various sectors of the financial aid community.

The SASFAA membership includes many sectors of the student aid community located in the nine states of the association's region. Services to these sectors are provided through representation on the executive board and other committees of the association, special sessions at the annual conference, membership services, and networking. In addition, SASFAA serves as the regional link between state financial aid associations and the National Association of Student Financial Aid Administrators.

OBJECTIVES:

- Work with all sectors of the region's financial aid community to ensure representation and participation in all association programs and activities.
- Provide membership services so the needs and interests of all sectors are addressed fairly and equitably.
- 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.
- Promote mentorship opportunities for all sectors of the financial aid community.

Activities:

SASFAA was represented at the NASFAA Board of Directors meetings by Carol Mowbray, immediate past president, Susan Little, president, and Mary Givhan, president-elect, and representatives at large, Willie Williams and Cruzita Lucero. Lisa Tumer served as NASFAA commission director. The president-elect provided a summary of action items and information of interest in the newsletter after NASFAA Board meetings.

The president, president-elect, past president and other officers represented SASFAA at one or more fall and/or spring state conferences. The state presidents were given opportunities prior to each SASFAA Board of Directors meeting to gather and exchange ideas and information.

Other activities were undertaken to provide information on the importance of alliances between and among various sectors of the financial aid community. President Little sponsored a planning workshop for newly elected and current officers of the executive committee to encourage organizational planning and continuity. President-elect Givhan will hold a half day organizational planning meeting during the Transitional Board Meeting. In addition, Mary Givhan offered an orientation for state president-elects during the annual conference. Marvin Carmichael as chair of the presidents-elect orientation provided useful information to the newly elected state presidents.

The conference committee chair, Bob Godfrey, working with legislative relations chair, Barry Simmons and vice president, Bill Cox ensured that sector, job and experience levels were addressed in planning the annual conference offerings. Vice president Cox brought to fruition a very successful management institute in December 1998 for experienced financial aid professionals.

Membership chair Lisa Tumer has mailed a membership survey which will provide information on member interests and needs.

Assessment:

Adequate participation from all sectors to participate and learn about SASFAA activities appears to be in place. Membership is individual, therefore all members have access to activities and benefits without regard to type or size of institution. SASFAA membership is extended to all participants of the New Aid Officers Workshop for the next fiscal year so that they may continue to learn about the services, programs and activities of the association.

SASFAA has strong representation and involvement at the state and national levels.

Recommendations:

The GAP committee recommends that the president, president-elect or a designee continue to attend SASFAA member-states' fall and spring conferences to promote alliances among the sectors and states and communicate the activities of NASFAA.

The GAP committee recommends that the president continue to support the practice of the state presidents meeting prior to SASFAA Board meetings to encourage the exchange of information and ideas relevant to the state presidents.

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

SASFAA has used a variety of mechanisms to disseminate information and data -- newsletters, directories, bulletins, guides and brochures, and other publications-- needed by all sectors of the association's membership to perform their duties and responsibilities more effectively. The SASFAA newsletter is one of the means of communicating general information to the membership. Other means of communication include a membership directory, a minority directory, bulletins, guides and brochures, and other publications.

OBJECTIVES:

- Provide timely information useful to all sectors of the membership.
- Address a full range of issues, ranging from policies to daily operations.
- Provide the SASFAA president's annual report to the membership in accordance with Section 1, Article 7 of the By-Laws.
- Provide a means for networking between and among all sectors of the membership.
- Enhance the use of new and emerging technologies (i.e., internet, etc.) as a more timely and cost-efficient means of communicating with the membership.

Activities:

Under President Little's leadership, Karen Fooks, communications chair and membership chair Lisa Tumer, all SASFAA members were added to the listserv using the membership form as the basis of the members email address. This step paved the way for increased opportunities to broadcast messages to the entire membership.

The GAP committee would also like to commend newsletter editor, Ann Hyneman, for the appearance, timeliness, and articles of interest to the membership and close coordination with the communication, sponsorship, and membership chairs.

The annual conference provided numerous opportunities for networking opportunities among the sectors of the association.

The president has requested information from the board of directors and representatives of the board to prepare the president's annual report. Previous president annual reports are available to the membership on the web page.

Assessment:

With the addition of all members to the listserv, the opportunity for increased levels of communication is fostered. The web page redesign, addition of photographs, membership and registration forms, registration of the sasfaa.org domain name, and timely addition of information makes this a vital link to membership interests.

The membership survey should provide the board of directors with useful information regarding member interest in the newsletter, listserv and web page.

Recommendations:

The GAP committee recommends that the communications chair establish a network with member-state web masters for exchanging information and ideas to enhance communications.

The GAP committee recommends that the president send a monthly reminder to all board members and representatives to the board to provide updates to the webmaster to keep the calendar current and to provide photographs of events.

The GAP committee recommends that consideration be given to contracting with a professional web design/site management firm to enhance the web site. Coordination of these activities could fall under the auspices of the communications chair.

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

As a professional association, SASFAA has the responsibility to inform members of legislative issues affecting the operation or administration of student financial aid and the delivery of funds to students attending postsecondary institutions. In fulfilling its communication responsibility to the membership, SASFAA should outline and delineate alternative approaches for addressing the issues and concerns affecting the student financial aid profession. Whenever reasonable consensus exists on issues (e.g. support for federal work study or federal grant programs), the association has the responsibility to advocate support for these positions.

OBJECTIVES:

- Apprise members of legislative issues affecting the profession.
- Educate members of alternative approaches.
- Encourage involvement on issues affecting the profession.
- Advocate positions when a reasonable consensus exists.

Activities:

The GAP committee commends the state agency liaison, Ron Gambill, and legislative chair, Barry Simmons, for coordinating and communicating reports on reauthorization issues and activities to the board.

Assessment:

The federal relations committee made some use of the listserv and web site to provide members with updates on

reauthorization, negotiated rulemaking and other legislative issues. However, the updates were not regular in a year when much was happening legislatively. The committee does not recall that SASFAA advanced any coordinated legislative responses.

Recommendations:

The GAP committee recommends that the legislative relations committee be evaluated to determine the role, responsiveness and activities of the committee as it should function.

PROFESSIONAL DEVELOPMENT

GOAL: Provide for the professional growth and competencies of members by offering workshops, seminars, meetings and other training opportunities to meet the needs of the membership.

Professional development can be considered the heart of any professional association. The impetus for the initial organization of such a group relates to the common interests of a number of people, combined with a common desire to improve professional skills. SASFAA addresses this goal by continuous assessment of professional development needs and by offering annual meetings, workshops, and other training opportunities.

OBJECTIVES:

- Determine the training/professional development needs of members, recognizing categorical distinctions among members such as experience, institutional type, and level of responsibility.
- Improve and enhance the annual conference on the basis of systematic reviews and evaluation of previous conferences, as well as current needs of members.
- Present programs and sessions possessing both vitality and relevance for all members.
- Provide a diversity of topics recognizing both the need for regulatory and technical knowledge, as well as the need for skills in management and human relations.
- Provide open forum opportunities to accommodate timely topics not considered when the program was planned;
- Recognize and encourage the development of informal "networking" strategies for sharing information and locating job opportunities.
- Encourage the presentation of worthy and thought-provoking papers by members.
- Recognize and provide opportunities for pre- and post-conference training and recreational activities.
- Continue to provide an annual, intensive training workshop designed to provide new aid administrators the basic framework of knowledge needed to administer student financial assistance programs.
- Encourage participation in professional development activities by experienced members who represent the diversity of the membership and are capable of motivating and teaching others.
- In cooperation with other organizations such as the National Association of Student Financial Aid Administrators and the Department of Education, maintain a core curriculum with revisions and updates as necessary.
- Provide training sites which are geographically accessible, financially feasible, and educationally enhancing.
- Offer periodic opportunities for experienced aid administrators to grow in leadership, management, and other advanced functions of aid administration.
- Offer advanced training programs and seminars for experienced members on unique topics related to financial aid administration after considering whether such activities are geographically accessible, financially feasible, and educationally enhancing.
- Provide special attention to new technologies as both an object of training efforts and as a vehicle for presenting other topics for training, discussion, and advancement.

Activities:

The SASFAA annual conference provided a range of sessions that appealed to various experience levels and sector interests. Based on evaluations, participants indicated that their professional needs were met. Evaluations continue to be the initial basis of conference planning. A workshop for new aid officers attracted 40 individuals prior to the official commencement of the annual conference.

Plans are currently underway to hold the New Aid Officers' Workshop for approximately 125 participants at the University of South Florida using NASFAA Core curriculum in PowerPoint presentation format. This continues to be offered for new aid officers with fewer than three years of experience. It is comprehensive in its scope and promotes networking. FASFAA has established a local arrangements committee to work with the site coordinator to introduce participants to local attractions.

The guidelines for managing the site coordination for the summer workshop have been written along with position descriptions for site coordinators, instructors and lender assistants. The Guide to Planning the Summer Workshop has been revised and is available in electronic format. Photographs of the summer workshop will be included on the web site.

The Professional Management Institute was held in December 1998 providing a well-received professional development opportunity for approximately 90 experienced financial aid administrators. It was held in Alexandria, Virginia.

Assessment:

Conferences continue to emphasize technology as it changes the financial aid profession. The annual conference, one-day new aid officers' workshop, annual new aid officers' workshop, and the management institute provided excellent professional development opportunities for members.

Updating the Guide to Planning the Summer Workshop and development of related position descriptions will make the planning and organization for this traditional professional development and training opportunity easier for new curriculum coordinators and vice presidents to plan and to conduct.

Recommendations:

Site selection for the new aid officers' workshop should take place two years in advance with the selection responsibility assigned to the site selection chair working in coordination with the outgoing vice president. This recommendation was cited in the past GAP recommendations but has not been acted upon.

SASFAA should give strong consideration to providing decentralized NASFAA training within each state of the region. This training could be offered at a lower cost to SASFAA members and promote membership in the association. This would address the objective of providing geographically accessible training that is financially feasible and educationally enhancing.

The GAP committee recommends that special interest topics/sessions be provided as part of a pre-conference offering.

The GAP committee recommends the identification of a topic for the next professional management institute by soliciting suggestions from the membership. Professional management seminars should be planned at approximately three-year intervals.

FINANCES

GOAL: Provide for and ensure the future financial stability of the association through careful and regular planning and evaluation.

OBJECTIVES:

- Determine the appropriateness of fees assessed for dues, the annual conference, workshops and ancillary services including vendors, at least once every five years.
- Provide for the establishment, maintenance, investment, and monitoring of a sufficient associational reserve fund.
- Review routinely all risks and liabilities affecting cash management and contractual obligations.
- Determine the appropriate cash balance to be brought forward annually.

Activities:

The treasurer/financial task force was appointed by President Little to review the duties and responsibilities of the treasurer to consider the internal controls regarding the association's finances. A report with the task force's recommendations will be given at the June transitional board meeting.

The reserve fund exceeds \$230,000, which represents approximately 70% of the budget. The desired goal is to have the reserve fund expressed as 2/3 of the annual operating budget.

The Guide to Financial Management has been reviewed and will be revised to be consistent with the Policy and Procedure Manual.

The policies and procedures to establish a SASFAA Leadership Scholarship was approved this fiscal year.

Assessment:

President Little has taken leadership in establishing a short-term treasurer/financial task force to build upon the strong foundation established in the development of the financial management guidelines.

Recommendations:

Since SASFAA is beginning the fourth year of the five year plan (ends June 30, 2001), the GAP committee recommends that a task force be established to review and update the Long Range Plan. The task force should be formed in the 1999-2000 fiscal year with an appropriate budget.

The GAP committee has observed indications of the desire to have some organizational planning in the form of meetings of the newly elected and current elected officers; orientation meetings for the state president-elects, and enhanced transitional planning at the June meeting. The committee recommends that these efforts have reached the point that would lead to a more formalized budget planning as well as organizational planning process that involves the board of director's insights. Perhaps, these planning efforts could be more efficiently

structured with more coordinated and articulated planning to achieve the desired results.

APPENDIX

SUMMARY OF GOVERNANCE AND LONG RANGE PLANNING COMMITTEE RECOMMENDATIONS

Legend:

95 (95/96 Long Range Plan)

96 (96/97 GAP Committee Evaluation)

97 (97/98 GAP Committee Evaluation)

98 (98/99 GAP Committee Evaluation)

Organizational Structure Recommendations

(95) The SASFAA Board should evaluate the feasibility of creating the position of vice president-elect. This individual would serve the first year as assistant to the vice president, attend professional development meetings and help plan and attend the annual new aid administrators' workshop. During the term of vice president-elect, the individual would not serve as a member of the SASFAA Executive Board.

(96) Continuing efforts should be made to identify promising individuals who have not previously served on a SASFAA board or as a committee chair and to encourage minority participation. GAP also encourages proactive efforts to seek out and encourage proprietary/vocational-technical school participation.

(97) No Recommendations

(98) No Recommendations

Committees Recommendations

95) Whenever possible, the president/president elect should consider the use of short -term task forces/ad hoc committees whose charter ceases when the task is completed. These chairs would attend an executive board meeting on an as-needed basis.

(95) A committee chair should not serve for longer than three consecutive years in the same position (does not count years served as a member).

(95) A member should not serve for longer than three consecutive years on the same committee (does not count years served as chair).

(96) Committee chairs should be encouraged to establish listserves for their committees to facilitate an inexpensive communications between committee members.

(96) A structured format for annual reports should be provided to all committee chairs. Each annual report should include, but is not limited to, names and affiliations of committee members, activities, recommendations for next year's committee/incoming officer and how the activities of the committee address the goals and objectives in the long range plan.

(97) The new position of communications chair appears to have provided welcomed and much needed service for the association. It is recommended that this position be continued for future years. Efforts should continue to identify promising individuals who have not previously served on the SASFAA Board or as a committee chair to encourage minority participation. GAP also encourages proactive efforts to seek out and encourage proprietary/vocational-technical school participation.

(97) The GAP committee recommends a review of the foundation liaison position to bring it more in line with its association responsibilities. Given the corporate and archivist responsibilities it may be prudent to structure this differently.

(98) The GAP committee supports the recommendation of the 97/98 GAP committee to review the position of foundation liaison to align it with SASFAA associational responsibilities, and in particular to address archiving documents and records.

(98) The GAP committee recommends review of the appointments of communications, site selection and state agency liaison to the long-range plan so that a chair does not serve for longer than three consecutive years in the same position.

(98) The GAP committee recommends that appointments reflect full member state and sector representation.

(98) The GAP committee recommends that strong consideration be given to outsourcing the technical development and maintenance of the web page with coordination of information and oversight assigned to the communications chair or newsletter editor.

(98) The GAP committee recommends that the membership of the conference committee be carefully reviewed to include sectoral and state membership reflective of the membership of SASFAA. In addition, the GAP committee recommends that the chair of the conference committee represent his or her state and that the future appointment for the conference chair represent his or her state to avoid duplication of state membership and promote fiscal responsibility.

(98) In order for the GAP committee to effectively assess committee activities, each committee chair, officer and liaison should submit a year-end report prior to the meeting of the GAP committee. In addition, a Budget Summary Report of expenses and revenues needs to be prepared through April 15 and provided to the committee. Legislative relations, lending and U.S. Department of Education reports were not available. The Budget Summary Report was dated February 12, 1999.

(98) The GAP committee recommends that all year-end reports be submitted in the same format. The format was provided by the president in the 1998-1999 Executive Board, Committee Chairperson, and Agency Liaisons Responsibilities on July 25, 1998.

Membership Recommendations

(96) No recommendations.

(97) No recommendations.

(98) The GAP committee recommends that future year-end reports include a breakdown of membership by school type, state, experience levels, and status (i.e., paid, honorary and complimentary) and comparisons of these for the three most recent years.

(98) The GAP committee recommends that SASFAA membership categorizations be thoughtfully considered by relevant committee chairs in light of the services and activities provided by SASFAA (i.e. professional development and conference).

(98) The GAP committee recommends that every two years, the membership committee identify non-member institutions and invite membership in SASFAA. It is suggested that the membership committee develop a brochure highlighting the benefits of membership for such a mailing and also make it available on the web page. This should be undertaken in the 1999/2000 fiscal year.

(98) According to the Long-Range Plan, membership surveys have been conducted in 1998/89, 1991/92 and 1998/99. The GAP committee recommends that such surveys be conducted at least every five years.

Policy and Procedures Recommendations

(96) The long-range plan is one of SASFAA's key policy documents. It is important that a historical record be maintained of all modifications, deletions, and additions. The 1997-98 Governance and Planning Committee should develop a structured format to be used to record these changes and establish a consistent format to be used by future GAP committees in their annual assessment of compliance with the long range plan.

(97) No recommendations

(98) The GAP committee recommends that the Financial Management Guide be revised to be consistent with the Policy and Procedure Manual. Ken Player, chair of the budget committee, recommends that the audit review procedures be analyzed further to maximize the association's ability to safeguard its assets at the least cost. The GAP committee recommends that the Guide be rewritten in the same format and style as the Policy and Procedure Manual.

(98) The GAP committee recommends that each committee/task force chair, agency liaison and officer be charged by the secretary annually with a review and update of the Policy and Procedure Manual as related to its activities.

Communication Recommendations

(95) Newsletter: Include the president-elect's summaries of NASFAA Board discussions; reports from SASFAA members serving on NASFAA committees; reports from SASFAA committees and agency liaisons; highlights of SASFAA executive board meetings; a calendar of meetings, report due dates, deadlines, and other special dates; state reports and a "letters to the editor" section to provide members with an opportunity to voice concerns.

(95) Directory: Ensure the directory contains a membership listing that is as current and practical as possible. Ensure that it includes the name, title, address, telephone number, fax number and e-mail address.

(95) Guides and Brochures: Ensure the contents of all such publications are copyrighted so the material compiled by association members can be utilized by all association members free of copyright costs. Determine if any such publications are of sufficient proprietary interest to warrant sponsorship of the material by outside vendors. Ensure such publications meet the needs, requirements, and interests of the membership. Ensure the SASFAA executive board evaluates the cost/benefit aspects of each publication and endorses its compilation, preparation and distribution.

(95) Bulletins: Assess the need for this type of written notice when the same information can be transmitted electronically to all constituencies affected by the communication. Establish criteria to be followed in determining whether or not a bulletin should or must be distributed to the membership in addition to the SASFAA newsletter. Determine whose responsibility it is to compile, print and distribute a bulletin separate and distinct from the SASFAA newsletter. Consider restricting distribution to affected target group(s), e.g., lenders, proprietary school representatives, public school representatives, etc.

(96) Proactive efforts should be made to increase participation in the SASFAA listserv and usage of the website.

(96) Committee chairs and officers should be expected to provide periodic updates to the listserv and web about relevant activities.

(96) The president should identify individual(s) to provide assistance and advice regarding electronic communications within SASFAA.

(96 & 97) Consider the feasibility of automatically adding all SASFAA members to the SASFAA listserv with the clarification of each member that (s)he can unsubscribe if (s)he does not choose to belong to the list.

(96) The association should actively solicit member involvement in legislative/regulatory activities and should make extensive use of the website and listserv to keep members apprised of issues and to seek input in formulating SASFAA positions. In addition, the president and legislative relations committee should be proactive in using the web and listserv to alert members to legislative/regulatory issues, solicit input in developing formal SASFAA responses and should promptly post copies of all SASFAA NPRM comments, letters and testimony to the listserv and web. The newsletter editor should investigate ways to use the newsletter to foster issue-oriented discussions.

(97) Efforts should continue to increase participation in the SASFAA listserv and usage of the website.

(97) Serious consideration should be given to moving the SASFAA Newsletter to an Internet environment (Website). It is GAP's opinion that this will increase the flow of timely and relevant information as well as reduce cost for the association.

(98) The GAP committee recommends that the president, president-elect or a designee continue to attend SASFAA member state fall and spring conferences.

(98) The GAP committee recommends that the communications chair establish a network with member-state web masters for exchanging information and ideas to enhance communications.

(98) The GAP committee recommends that the president send a monthly reminder to all board members and representatives to the board to provide updates to the webmaster to keep the calendar current and to provide photographs of events.

(98) The GAP committee recommends that the legislative relations chair increase the frequency of legislative and regulatory updates to members using the listserv.

(98) The GAP committee recommends that consideration be given to contracting with a professional web design/site management firm to enhance the web site. Coordination of these activities could fall under the auspices of the communications chair.

(98) The GAP committee recommends that the president continue to support the practice of the state presidents meeting prior to SASFAA board meetings to encourage the exchange of information and ideas relevant to the state presidents.

(98) The GAP committee recommends that the legislative relations committee be evaluated to determine the role, responsiveness and activities of the committee as it should function.

Professional Development Recommendations

(95) Conduct periodic surveys of the membership to determine areas of concern and perceived strengths and weaknesses of the association.

(95) Conduct on-going surveys to evaluate all professional development activities offered by the association.

(95) Establish a procedure to assure that evaluation results are used in planning and subsequent professional development activities.

(95) In addition to on-site evaluations, solicit "time-elapsed" evaluations approximately six months after each training.

(96) Consider the feasibility and interest in offering an experienced aid administrator management seminar/symposium in 1997-98.

(96) Site selections for the summer workshop should be addressed no less than 18 months in advance. The incoming vice-president should begin soliciting potential sites as soon as possible after his/her election with the objective of having a recommendation by the first board meeting of the year.

(97) Site selection for the summer workshop should take place at least two years in advance and the selection responsibility should be given to the SASFAA Site Selection Committee chair.

(96) The Budget Committee should review anticipated vendor/sponsor support including the assessment of fees/advertising and monetary distinctions for vendor, sponsor and patron status and determine if a back-up plan is necessary in anticipation of potential loss of sponsorship support.

(96) The executive board and committee chairs should take a more active role in participating in the SASFAA and state listserves and provide timely and informative updates for the SASFAA website.

(97) A "buddy" or mentoring program should be re-established for new members who attend the annual conference.

(98) Site selection for the new aid officers' workshop should take place two years in advance with the selection responsibility assigned to the site selection chair working in coordination with the outgoing vice president.

(98) SASFAA should give strong consideration to providing decentralized NASFAA training within each state of the region. This could be offered at a lower cost to SASFAA members and promote membership in the association.

(98) The GAP committee recommends that special interest topics/sessions be provided as part of a pre-conference offering.

(98) The GAP committee recommends the identification of a topic for the next professional management institute by soliciting suggestions from the membership. The professional management seminars should be held at approximately three year intervals.

Finance Recommendations

(95) Review vendor fees of the other regional associations and the states within SASFAA to determine the appropriateness of SASFAA's fees.

(95) Adopt an official policy to raise the reserve fund to 50% of the annual operating expenses.

(95) Develop and recommend an investment strategy for the association's reserve fund.

(95) Develop a projected 5-year budget plan and update it annually.

(95) Review periodically the association's necessary fidelity bonding levels and other associational liability issues.

(96) The Guide to Financial Management should be considered a "core" document of the association and should be reviewed and updated at least once every five years.

(97) No further recommendations.

(98) Since SASFAA is beginning the fourth year of the five year plan (ends June 30, 2001), the GAP committee recommends that a task force be established to review and update the Long Range Plan. The task force should be formed in the 1999-2000 fiscal year with an appropriate budget.

SELECTED REFERENCES

The GAP committee used these reference to prepare this evaluation.

- SASFAA Annual President's Report, 1996-1997, June 13, 1997
- SASFAA Annual President's Report, 1997-1998, June 8, 1998.
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- SASFAA Long-Range Plan, 1996-2001, approved February 1996.
- Governance & Planning Committee Evaluation of the Long-Range Plan, 1996-97, June 1997.
- Governance & Planning Committee Evaluation of the Long-Range Plan, 1997- 98, June 1998.
- 1998-99 Annual Report Evaluations
 - Immediate Past President/Nominations & Elections and Awards
 - Professional Development
 - Secretary/ByLaws
 - Treasurer/Budget Summary dated 2/12/99
 - President-elect
 - State presidents
 - Budget Committee
 - Communication
 - Conference
 - Membership
 - Newsletter
 - Site Selection
 - Sponsorship
 - Foundation Liaison
 - State Agency
- 1999 SASFAA Conference Evaluations
- 1998 SASFAA Management Institute Evaluations

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