

The 2001-02 Governance and Planning Committee Report
For the
SASFAA LONG-RANGE PLAN
2001-2006
June 6, 2002

ORGANIZATIONAL STRUCTURE
BY-LAWS

GOAL: Ensure that the By-Laws reflect the mission of the Association and support the viability of the organization.

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

Activities: As a result of the review of the by-laws, a report was presented to the Board at the winter meeting held in Tampa. The By-laws review committee recommended a number of revisions to the by-laws. The Board supported the changes that were proposed and authorized that the revisions be presented to the membership for their review and approval at the annual conference. Per the actions of the Board, the By-laws changes were presented to the membership for their approval in February 2002 at the annual conference held in Louisville, Kentucky. The By-laws changes were approved.

Assessment: The GAP committee commends the By-Laws review committee, chaired by Guy Gibbs, for its extensive review of the By-Laws.

EXECUTIVE BOARD

GOAL: Ensure that the terms of office for elected officers be of sufficient length to provide 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: None observed.

Assessment: The GAP committee commends the Nominations and Elections committee, chaired by Immediate Past President Cox, for an excellent slate of officers and for its use of a strict timeline for nominations.

Recommendations:

The GAP committee recommends that the Chair of the Nominations and Elections committee ensures, to the extent possible, that minorities are represented on the slate of officers.

The GAP committee recommends that careful evaluation be done to determine if both the new aid and mid-level officers workshops should fall to the responsibility of the Vice President.

The GAP committee recommends that the Nominations and Elections committee use the timeline and procedures set up by the 01-02 committee.

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 diversity of the Association, including sector, gender and ethnicity.

Activities: Of the sixteen positions open to the president, eight of the individuals appointed did not serve in the same capacity as a board member/committee chair in the previous year (Agencies, conference, legislative, relations, lenders, management institute, site selection, special projects, and sponsorship). One of these individuals had never previously served on the executive board or as a committee chair. Each committee chair was invited to attend all four executive board meetings, with the exception of the management institute chair. Committee chairs and liaisons represented all nine SASFAA member states and the U.S Department of Education liaison temporarily represented all nine SASFAA states. Sector representatives were four year public (6); four year private (6); community college (0); lender/guarantor (3) and proprietary (0). Make up of committee chairs and agency liaisons were: fourteen Caucasians, two African Americans; eight females and eight males.

Assessment: The GAP committee commends President Aldridge for following the guidelines to ensure continuity and diversity among committee chairs.

COMMITTEES

GOAL: Ensure that committees are 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:

- Appoint committee members, to the extent possible, who represent diversity including sectors, genders, and ethnicity.

- Ensure that committees with broadly defined responsibilities such as legislative relations, professional development and the annual conference include at least 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, makes 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: Where applicable, all committees that require representation from all nine states did have such representation. Since the second board meeting was held in late November, President Aldridge held a conference call to approve the slate of officers.

Assessment: While the committee was unable to assess these objectives in a complete manner (due to the lack of a standard format in the committee reports), the committee generally considers this goal to have been accomplished. The GAP committee commends the Executive Board for continuing to support the Diversity Issues committee this year and providing the budgetary support.

Recommendations:

The GAP committee recommends that SASFAA identify and aggressively pursue potential minority leaders. We further recommend that these individuals be invited to attend a leadership development session at the annual conference.

The GAP committee recommends that the Diversity Issues committee recruit minority members who have served in leadership positions in SASFAA to lead a session on leadership development at the annual conference, thus being used as role models and mentors for this group.

The GAP committee recommends that each committee chair's annual report include the specific goal from the SASFAA Long Range Plan that relates to the committee's activities and the accomplishments for each goal.

The GAP committee recommends that the President provide the format for the annual report that appears in the P&P and that the committee chairs adhere to the deadline for submitting the report in a timely manner.

The GAP committee recommends that the Diversity Issues committee be represented by every SASFAA state and, where possible, by every minority.

MEMBERSHIP

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

OBJECTIVE:

- 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.
- Conduct a survey at least once every five years to determine membership needs.

Activities: Membership increased by 14.5% for 01-02.

Assessment: The GAP committee commends the membership committee, chaired by Clyde Walker, for its efforts to increase membership. The GAP committee commends the Nominations and Elections committee, chaired by Immediate Past President Cox, for providing a well-represented slate of officers.

GOAL: Promote and encourage active participation by all members in activities of the Association.

OBJECTIVES:

- Provide opportunities for the participation and growth of new members
- Promote continued involvement among all members

Activities: SASFAA conducted the New Aid officer one-day workshop and will conduct the one-week new aid officer workshop and a Mid-level aid officer workshop during 01-02. President Aldridge provided completed volunteer forms (from members not currently assigned committee work) to the Conference committee to ensure that these volunteers were invited to participate in the annual conference.

Assessment: More information is needed to fully assess this goal. The workshops are held after the last board meeting. The GAP committee commends President Aldridge for his efforts in initiating the Mid-level aid officer workshop.

Recommendations:

The GAP committee recommends that the Membership chair continue to have a mailing out to the membership by no later than August 1.

The GAP committee recommends that the membership committee explore avenues of storing membership database to ensure no loss of data.

In consideration of the current economy of each state in the SASFAA region, the GAP committee recommends that SASFAA continue to negotiate with potential sites for the best rates possible to make it possible for members to attend activities of the association.

POLICIES AND PROCEDURES

GOAL: Ensure that the policies and procedures are accurate and complete in order to provide consistent Associational direction.

OBJECTIVES:

- Establish a procedure to ensure that the policies and procedures are accurate and complete and that the Association is in compliance with these rules.
- Review the 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.

Activities: The SASFAA Policy and Procedure Manual was reviewed and changes were proposed to that document. Those proposed changes were presented to the Board for their review at the Board meeting preceding the annual conference in February 2002. Upon review by the entire Board, the changes to the SASFAA Policy and Procedure Manual were approved.

Assessment: The GAP committee commends the Policy and Procedure review committee, chaired by Secretary Gibbs, for successfully reviewing the Policy and Procedures Manual, which culminated in numerous revisions.

GOAL: Maintain the records of the Association.

OBJECTIVES:

- Establish procedures to maintain the records of the Association.
- Periodically review the methods and location used to maintain records.
- Ensure the accessibility and continuity of the Association's records.

Activities: The archived records have been sorted by year and copied to computer disks in a TIF format. This format allows for the easy access, retrieval and web interfacing of all archived information.

Assessment: The GAP committee commends the Archives and Research Task Force, chaired by Ellen Green, for completing the initial project to archive SASFAA records electronically.

Recommendations:

The GAP committee recommends that the Archives and Research committee continue its effort in completing the task of imaging and archiving the association's records. The board should identify how the records will be transferred to the Registered Agent. Minimum standards of what should be archived should be established with consideration given to the disposition of documents that are not archived. The GAP committee recommends that consideration should be given to recording statistics of annual events.

COMMUNICATION/ COLLABORATION

GOAL: Facilitate alliances between and among various sectors and diverse members of the financial aid community.

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.

Activities: SASFAA is represented on the NASFAA Board of Directors by President Aldridge, Immediate Past President Cox, and President-elect Koonce (as an observer). In addition, Cruise Lucero serves as NASFAA Chair-Elect. Willie Williams served as Chair of the Finance Committee while Bob Godfrey and Dave Felinas serve as Representatives-At-Large. The President and President-Elect attended the state meetings of SASFAA member states. Through NASFAA's Interregional Visitation program, President Aldridge attended the EASFAA conference Executive Board meeting and Jim Swanson and Cindy Butler attended the SASFAA conference as visiting regional presidents. The state presidents continue to meet prior to each Executive Board meeting to share ideas and provide support for each other. President-Elect Koonce held the Elected Officers Retreat in St. Petersburg, Florida on June 6, 2002. President-Elect Koonce held a state president-elect workshop at the annual conference in February. Carol Mowbray conducted this workshop.

Assessment: None.

Recommendations: None.

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

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 of 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: The newsletter was converted to electronic format. Most of the communication to membership was accomplished through the SASFAA listserv (conference, elections, legislative relations, etc).

Assessment: The GAP committee commends the SASFAA Board for greater use of the website in communicating with SASFAA members. The GAP committee commends the Conference Committee, chaired by Lisa Turner, for the wide use of the website in communicating conference activities to the membership. The GAP committee commends the Electronic Services committee, chaired by Lester McKenzie, for SASFAA's advancements in the electronic media. The GAP committee commends the Newsletter committee, chaired by Julia Perrault, for providing the newsletter in electronic format and providing an avenue for members to keep abreast of SASFAA activities.

Recommendations:

To keep the membership abreast of the activities of the Board, the GAP committee recommends that a draft copy of the minutes be posted on the website at least 30 days after each Board meeting. An announcement should be posted to the SASFAA listserv stating that minutes are available for review by the membership.

With the increased use of electronic services, the GAP committee recommends that the board evaluate the amount of resources necessary to support this function.

The GAP committee continues to recommend that the Board explore additional usage of SASFAA's electronic medium, the website and listserv, for conducting business of the association and communication with its members.

The GAP committee recommends that the Electronic Services committee evaluate options available to become self-sufficient for website and listserv usage.

The GAP committee continues to recommend that an announcement to be posted to the SASFAA listserv when committee reports have been posted to the SASFAA website.

The GAP committee recommends that the newsletter committee evaluate the possibility of providing the newsletter in a format that would easily include ads.

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.

OBJECTIVES:

- Apprise members of legislative issues affecting the profession.
- Educate members of alternative approaches.
- Encourage timely, effective involvement in financial aid issues affecting the profession.

- Advocate positions when a reasonable consensus exists.

Activities: The committee prepared association responses to several pieces of legislation, including a letter encouraging support for a \$4000 Pell award for 02-03, and a letter requesting strong financial aid funding in the FY 2002 budget. The committee also prepared a list of twelve regulatory/statutory changes SASFAA would like to see as part of Rep. Buck McKeon's FED-UP initiative. Throughout the year, email updates concerning matters of legislative interest were forwarded to the SASFAA listserv. The legislative relations committee is continuing to watch several pieces of proposed legislation, including an increase in Federal Work Study Community Service requirements and the sunset of Stafford Loan regulatory relief for low default schools.

Assessment: The GAP committee commends the Legislative Relations committee, chaired by Karen Fooks for their efforts toward educating legislators and SASFAA members concerning financial aid issues.

Recommendations:

With reauthorization in our midst, the GAP committee continues to recommend that the SASFAA Legislative Guide be updated and distributed to the membership via the listserv and published on the website.

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.

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 worthy and thought-provoking research, publications, and presentations 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: SASFAA will sponsor a New Aid officer workshop and a Mid-level officer workshop in June 2002. SASFAA sponsored a one-day New Aid officer workshop at the annual conference in February 2002. SASFAA began initial planning for the next Management Institute.

Assessment: The GAP committee commends the conference committee, chaired by Lisa Turner, for providing a conference that met the expectations and professional needs of 98% of the participants who evaluated the conference.

Recommendations:

The GAP committee recommends that the SASFAA Board cautiously evaluate the NASFAA decentralized training efforts within the context of the budget and its usefulness to the membership.

The GAP committee recommends that an ad hoc committee composed of past conference chairs be appointed to develop a Conference Committee Handbook.

The GAP committee recommends that upon the conclusion of the intermediate aid officer's workshop in June 2002, the Board should evaluate the need for such a workshop.

The GAP committee recommends a review of the number of professional development committee members with emphasis on the number of workshop instructors needed to conduct a high quality summer new aid officers workshop in a cost effective manner.

The GAP committee recommends that the Conference Committee consider mailing a detailed letter of announcement, emphasizing that more information can be found on the SASFAA website, to the membership.

The GAP committee recommends that the board continue to work on plans for the management institute to be held in December 2003.

The GAP committee recommends that the conference committee continue to evaluate the number of sessions keeping in mind the need to ensure good attendance at sessions. The GAP committee recommends that the conference committee evaluate the success of the conference from the viewpoint of the presenters.

The GAP committee recommends that there be representation of all states for the instruction workshops.

FINANCES

GOAL: Ensure fiscal integrity.

OBJECTIVES:

- Adhere to the practices outlined in the SASFAA Guide to Financial Management
- Review the SASFAA Guide to Financial Management periodically to ensure the continuity of sound financial practices.

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

Activities: None.

Assessment: The GAP committee has no reason to believe there have been any fiscal irregularities, however it is unable to make a final determination because the Finance and Audit Committee did not submit an annual report.

Recommendations:

To enhance discussion and development of the next year's budget, the GAP committee recommends that the prior three years final budgets, as well as the current and proposed budgets be provided to the members present at the transitional board meeting. The GAP committee should be provided with the past three years final budgets, and the current year before their annual meeting in May.

The GAP committee recommends the Treasurer's Report as of 4/15 be provided to the GAP committee and that this activity is added to the Treasurer's Operational Calendar. The GAP committee recommends that the annual audit should be completed in a timely manner, soon after the 990 is finalized.

The GAP committee recommends that the annual audit report be presented to the board at the February meeting as stated in the Financial Management guide.

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.

- Periodically evaluate the financial impact of vendor sponsorship.

Activities: The Membership Chair, Clyde Walker, met with the Treasurer prior to the annual conference to ensure that all conference registrations that had been forwarded to him by the Treasurer had been received and processed to update the membership database prior to the conference. This helped to alleviate problems during registration. Onsite registration at the conference was handled smoothly with the help of the Local Arrangements Committee and the Audit and Finance Chair. Receipts were balanced at the end of each day of registration by using functions of QuickBooks software. The Finance and Audit Chair verified this process. Conference evaluations indicated that participants were pleased with the registration process by awarding it high marks. Incoming board members were trained in how to complete the expense forms for reimbursement.

Assessment: The flow of information was smooth between the vendor/sponsor chair and the treasurer. SASFAA continues to receive high support from our vendors and sponsors. According to the Treasurer, all bank statements have been balanced in a timely manner and all requisitions were processed within five days of receipt.

The Committee:

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