

SASFAA Governance and Strategic Planning Committee Assessment

2011-2016 SASFAA Long-Range Plan

2013-2014

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



May 2014

**Jeff Dennis, Chair
2013-2014 SASFAA Past-President**



May, 2014

TO: SASFAA Board of Director
SASFAA Membership

FROM: Governance and Strategic Planning Committee

Jeff Dennis, Chair, Southern Wesleyan University
Sandy Neel, Bellarmine University
Carolyn Sparks, Wofford College
Sylvia Jones, Wells Fargo
Brad Barnett, James Madison University
Nathan Basford, Florida State University (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 2011-2016 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 2013-2014; 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. The Bylaws Committee conducted its annual review of the Bylaws on February 10, 2014.

Assessment:

1. After the Committee review, Committee recommendations were presented at the February Board meeting and will be submitted to the membership to vote on during the annual conference in February 2015.

2012-13 Recommendations Review:

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.

Evaluation: Approved changes to the policies and procedures manual, bylaws and guide to financial management have been submitted to the Electronic Services Chair for posting to the website.

2013-2014 Recommendations:

1. (13-14) The Secretary recommends providing access to the Secretary to post updates to the website.

Evaluation:

2. (13-14) Based on a recommendation from the President-Elect and a goal set by President, the Board should explore and consider moving the Parliamentary role from the President-Elect office to the Past-President office. This will require a change to By-Law Article VII Section 3 and Section 5.3 and 5.7 of the SASFAA Policy and Procedure Manual.

Evaluation:

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.
2. The President and President-Elect executed a review of shifting the Office of Vice-President to a two-year term to allow for greater continuity and more planning time for events beyond the New Aid Officers Workshop.

Assessment:

1. Composition of the board was only reviewed as it pertains to committee chairs, not the elected officers.
2. Both the President and President-Elect believe there is merit in exploring the extension of the Vice-President term from one to two years. Based on the results/outcomes, the validity of this change should continue to be reviewed.

2012-13 Recommendations Review:

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.
Evaluation: The President and President-Elect together reviewed the recommendation to extend the term limit of the Vice-President position. However, there was no evidence as to when the review took place. It is important to maintain record that the activity was reviewed and completed. This will be carried forward.

2013-14 Recommendations:

1. (12-13) 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 14-15.
Evaluation:
2. (13-14) The 14-15 President and President-Elect should continue the review and make any necessary recommendations to the Board. If a change is deemed necessary, a proposal should be written and brought before the Association for approval of the change to Article VI-Officer, Section 3 of the Articles and By-Laws.
Evaluation:

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/liaison 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. All committees formed this year were needed. In addition, a new Technology Assessment and Integration Committee helped re-examine our communication efforts.
- 2. Annual Goals Spreadsheet completed by all elected officers and committee chairs. The GAP Committee met May 14-16, 2014 to review the goals and objectives and draft the annual GAP report.
- 3. Most committee chairs attended the three Board meetings, which were held both in Jacksonville and the Raleigh-Durham area.
- 4. Of the thirteen committee chairs, 7 were new and 6 returning.
- 5. Of the thirteen committee chairs, 3 were male, 3 were minority and 1 was from a technical/trade school.
- 6. The GAP Committee met May 14-May 16, 2014 to review the goals and objectives and draft the GAP Report and make recommendations for 14-15.
- 7. No activity to report.

Assessment:

- 1. The goals and objectives of SASFAA were well executed through the various committees by excellent representation on those committees.
- 2. The annual goals spreadsheet was very thorough and helpful in the GAP evaluation process.
- 3. The President invited all chairs to attend the board meetings.
- 4. There is almost a perfect balance of new and returning committee chairs.
- 5. The inclusiveness of the chairs seems to be appropriate.
- 6. The necessary materials for the annual GAP review were adequate enough for a thorough review of the LRP.
- 7. The LRP is set for renewal in 2016. The 2014-15 President will have a Long Range Planning Chair and committee to begin the review process. Therefore, no assessment is warranted for this year.

2012-13 Recommendations Review:

- 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. *Evaluation: By reviewing the goals spreadsheet, it is evident the President used the LRP, the P & P and the GAP recommendations to set goals for the 2013-2014. Excellent execution and participation of all board and committee chairs was evident. The President should be commended for this action.*

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.
Evaluation: The President-Elect attended the 12-13 GAP Committee meeting which appeared beneficial in her developing the goals and objectives spreadsheets. Although tedious, it helps the GAP Committee stay on task for its annual evaluation.

2013-14 Recommendations:

1. (13-14) It was recommended by the President to reconsider the use of the current Goals and Objectives Spreadsheet. This would include considering moving to the format NASFAA uses for its Board reports and reducing the number of goals and objectives assigned to each committee/officer. The GAP Committee determined moving to a different format would not work since the GAP Report (including the objectives) is tied directly to the SASFAA LRP and SASFAA Policy and Procedure Manual. This is different than the NASFAA configuration. Instead, the GAP Committee recommends streamlining the spreadsheet and educating the board members to provide more detail in completing the “Activities That Support The Task” and “Results/Outcomes And What You Would Do Differently” columns.
Evaluation:
2. (13-14) During the next Long Range Plan cycle, review the 2011-2016 SASFAA Long Range Plan Section 1. Organizational Structure, Board of Directors, Goal 2, Objective 3 reads: “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.” The recommendation is to review this language as it conflicts with Section 5.1(a) of the SASFAA Policy and Procedure Manual.
Evaluation:

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. Committees had a total of 104 members and chairs. The breakdown of the chairs and committee members is as follows: 83 white/Caucasian, 19 black/African American, 2 Hispanic/Chicano/Mexican American, 71 Females, 33 Males. The make-up of school sector representation is as follows: 22 from public 2 year, 42 from public 4 year, 21 from private 4 year, 1 from proprietary/technical, 1 graduate professional, 17 from lender secondary market. The range of financial aid experience was from 1 to 39 years of experience. The average years of experience of committee members were 18 years.
2. Major committees worked directly with the President to select committee members from each state while being aware of sector type, ethnicity, gender, and years of experience. Major committees included Conference, Professional Development, and Legislative Relations.
3. Efforts will be made to keep the committees small in order to minimize cost.
4. There were a total of 70 new committee members and 34 returning members.
5. Most committees met via conference calls, email exchange and during annual conference with no or minimal cost incurred to SASFAA. The Conference Committee and Professional Development Committee each had one on-site meeting.
6. Reports have not been submitted. Reports should be submitted at year end.

Assessment:

1. Met the established goal. Committee members reflected SASFAA's demographic.
2. Committees met established goal.
3. Met the established goal. Committees were established with sufficient size to effectively achieve committee goals.
4. Met the established goal. There was a mix of new and returning members on the SASFAA Committees.
5. Met the established goal. Committees kept in person meetings to a minimum.
6. Final reports in progress.

2012-13 Recommendations Review:

1. (11-12) The Board should continue to explore various options for holding meetings other than on-site meetings.
Evaluation: This goal has been accomplished. The board and all committees should continue using alternative options to meet virtually and only meet in person when necessary.
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.
Evaluation: This goal has been accomplished and future SASFAA presidents should continue with this practice going forward.

2013-2014 Recommendations:

1. (13-14) Add language to the SASFAA Policy and Procedure Manual to specify that the President's Annual Report referenced in Section 5.2(f) be written and posted to the SASFAA website by June 30th.
Evaluation:

2. (13-14) During years when the President-Elect will be selecting a new Sponsorship Chair during his/her year as President, it is recommended that the President-Elect select the future chair early enough so that individual can shadow the current Sponsorship Chair and be better prepared to handle all aspects of the position.

Evaluation:

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. Will execute if financially feasible.
2. NASFAA announced there would be no inter-regional visits for the 2013-14 year.
3. Awards were presented to state and regional leaders.
4. Will work with the Vice President on this initiative with tentative plans to hold leadership workshop in the spring of 2014.
5. This will be included at the conference depending on the outcome of any state awards at NASFAA in July 2013.
6. The 2013-14 budget contains \$2,000 for a need-based scholarship to be awarded by the Past President.

Assessment:

1. Did not fit into the budget this year but should be re-evaluated each year going forward.
2. While NASFAA has discontinued the inter-regional visits going forward, the President has had conversations with other regional presidents and there is interest in the regions putting together their own inter-regional visitation program. SASFAA should consider including this in the budget going forward for the President-Elect to be able to visit one of the other regions.

3. Met the established goal. Heather Boutell from Bellarmine University was recognized as the NASFAA Regional Leadership Award recipient and Dave Mohning from Vanderbilt University was awarded the SASFAA Distinguished Service Award.
4. The workshop did not occur.
5. No state awards recommendations based on NASFAA Awards this year.
6. On schedule to award scholarship.

2012-13 Recommendations Review:

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.
Evaluation: SASFAA is on track to meet this goal. SASFAA did not submit a project for 13-14 however; a project was submitted for 12-13. A project needs to be submitted for 14-15 to remain on track. This is being carried forward.
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.
Evaluation: This goal has not been accomplished. Money was allocated in the SASFAA budget for one of these events, to be determined by the board, but neither occurred. This goal should be reconsidered for the 14-15 year and is being carried forward.

2013-2014 Recommendations:

1. (12-13) SASFAA should submit projects for NASFAA award consideration at least every two years. SASFAA was awarded the NASFAA Gold Star Award in July 2012 (11-12 year), which makes 13-14 the next year a project should be submitted. Since 13-14 was missed, a project should be submitted in 14-15.
Evaluation:
2. (12-13) SASFAA should have a Management Institute or Leadership Symposium, as the last two were held in the fall of 2008.
Evaluation:
3. (13-14) NASFAA is seeking to expand the NASFAA Leadership Conference in 2015. SASFAA should encourage additional participants to attend either at their own cost or the school's cost. The NASFAA Leadership Conference is intended to promote leadership beyond members who are already on the board.
Evaluation:
4. (13-14) Implement a leadership workshop track during the SASFAA conference. Have seasoned professionals conduct sessions on professional development and leadership (how to move to the next level in your career). Accommodate two or three progressive leadership sessions with the same audience in all sessions (over 2 or 3 days).
Evaluation:

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. Three solicitation emails were sent July 31 – 2,268 emails sent; Sept 17 – 1,603 emails sent and Jan 3 – 1,404 emails were sent.
2. A committee member solicited information regarding membership categories from various regions. The committee discussed the need for a category, which would include all retired administrators to participate as a non-voting member. A recommendation will be presented during the June board meeting.
3. Membership survey was conducted in April.
4. Both Facebook and the listserv were used to solicit membership and to announce the Financial Aid Day in October.
5. Cannot determine if persistence was monitored and that an analysis was done.
6. A membership survey was conducted in April 2014.
7. A question was added to the membership application for new members to request a mentor.
8. The committee will consider the interest of the various sectors and work to ensure they are addressed fairly and equitably.

Assessment:

1. It is evident that efforts were made to increase membership by the sheer number of emails that were sent.
2. The Membership Committee should be commended for gathering information and making the recommendation for a membership category for retired administrators.
3. The membership survey was conducted in a timely fashion so the information can be used for the new Long Range Plan, which will be voted on in May 2016. Great Job!
4. FB and the listserv were utilized to notify the membership of Financial Aid Awareness Day.
5. An assessment cannot be done because there were no activities reported that supported persistence was monitored and analyzed.
6. No activity was reported so an assessment cannot be completed.
7. Mentors were assigned to those who requested one. Nice job on getting this project started.
8. It was reported that this was completed but an assessment cannot be done because there were no activities listed to support that this goal was accomplished.

2012-13 Recommendations Review:

1. (12-13) A review of the membership categories should take place during the 14-15 year.
Evaluation: This will be done in 2014-15 so no evaluation can be done at this time. This is being carried forward.
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.

Evaluation: There is no evidence a review of persistence has ever been done so there is no data that could be used to increase membership and reduce the probability of non-renewal. Due the limited resources of SASFAA being an all-volunteer organization, it is recommended that this be eliminated.

3. (12-13) Add a question to the membership application inquiring if mentorship is desired. If so, Membership will assign to an appropriate mentor.

Evaluation: A question was added to the membership application and mentors were assigned to those who requested a 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.

Evaluation: The survey was conducted with information gathered that will be used for the Long Range Plan.

2013-14 Recommendations:

1. (12-13) Conduct a review of the membership categories outlined in Article IV – Membership of the Bylaws. This includes consideration of adding a third category that will allow individuals who do not meet the currently prescribed categories to join SASFAA in a non-voting capacity.

Evaluation:

2. (13-14) The Membership Chair must provide the Long Range Planning Committee the results of the Membership survey.

Evaluation:

3. (13-14) If the Mentorship Program is continued, then assign mentors prior to the annual conference and hold a reception or event at the annual conference to connect the mentor to the mentee keeping in mind that a new SASFAA member is not necessarily a new aid officer.

Evaluation:

4. (13-14) Consider sending out at least one direct mailing of membership materials to Financial Aid Offices at colleges and universities where there are no SASFAA members.

Evaluation:

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. All SASFAA Policy and Procedure approved changes were submitted to the Electronic Services Chair for updates to the website.
2. Although the Goals and objectives worksheet did not indicate officers and chairs reviewed and updated policies and procedures under their purview, Board meeting minutes indicate this was done by some of the board members.
3. The Board reviewed and approved all SASFAA Policy and Procedure changes.
4. All SASFAA Policy and Procedure approved changes were submitted to the Electronic Services Chair for updates to the website.

Assessment:

1. Great job in keeping up with the SASFAA Policy and Procedure Manual changes and getting them on the website!
2. The Board members and Committee Chairs who reviewed and updated the sections of the SASFAA Policy and Procedure Manual under their purview should be commended. It is very important to keep the SASFAA Policy and Procedure Manual up-to-date and if a quick review is done each year it will be a manageable task. There was no evidence that each board member reviewed his/her section of the manual.
3. All SASFAA Policy and Procedure changes submitted to the Board were acted upon.
4. This was done very effectively. In the future, it would be beneficial to have a list of all changes made throughout the year listed in the Goals and Objectives Spreadsheet.

2012-13 Recommendations Review:

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.

Evaluation: The language in Section 1.3 of the P&P Manual "The Board must approve all new policies, procedures, and changes. Upon approval, the secretary incorporates the changes" does not ensure that the Secretary will update the Manual after the Board approves changes. It does however; appear the Secretary has done this.

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.

Evaluation: The President did include on the goal spreadsheet for each Board member to review their section of the P&P and report if changes are needed. It is evident by reviewing the Minutes that many on the Executive Board did in fact review their section of the P&P. Every Board member must do this and the President should remind the Board to do it and report that it was done. This is being carried forward.

2013-14 Recommendations:

1. (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.

Evaluation:

2. (13-14) At the June final Board meeting, set aside time for Board members to review their section of the P&P and make recommendations for any updates or changes to the new Board to be voted upon if necessary.

Evaluation:

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. No Activity was reported for this objective.
2. No evidence that a review has been done.
3. All updated records are on the website.

Assessment:

1. No assessment can be done.
2. No assessment can be done.
3. Good work getting the minutes and other documents on the website.

2012-13 Recommendations Review:

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.

Evaluation: Although one can find the meeting minutes and other pertinent documents by really looking for them, they are not stored in an obvious place. It is noted under the sitemap area that it is currently being revamped to serve as a traditional sitemap. Once that is done hopefully there will be an area on the website specifically for meeting minutes and documents in an obvious location.

2013-14 Recommendations:

1. (13-14) Follow procedures for maintaining and archiving the records of the association and place them in the P&P Manual. This includes updating Objective 8.1 when the next Long Range Plan is developed.

Evaluation:

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. A survey went out to the membership on April 24, 2014. The survey included preferred communications and professional development questions along with other general items.
2. The Past President serves as a SASFAA voting representative to the Board of Directors of NASFAA. The Past President has attended all NASFAA Board Meetings as the SASFAA voting representative. The SASFAA President also attended NASFAA Board Meetings as a non-voting member.

Assessment:

1. The results have not been disseminated as of the compilation of this GAP report.
2. 2013-14 is the first year of having 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.

2013-14 Recommendations:

1. (13-14) The results of the April 24, 2014 survey by the Membership Committee should be used when the respective committee develops the Long Range Plan for 2016-2021.

Evaluation:

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 a minimum, provide monthly postings to the SASFAA Nine News.
2. The Policies and Procedures manual has been reviewed and updated throughout the year. The Technology Assessment & Integration Committee assessed the website and made suggestions for how information should be posted and what levels of access should be granted to individuals.
3. Completion pending.
4. Complete ongoing assessment of content on website. Implementation began with requests made to new leadership. Tasks completed include updates to the 13-14 leadership information to include new pages for 13-14 committees, updates to membership, sponsorship, treasurer, legislative, states and association information, and updates to payment settings, receipt settings, and membership settings.
5. Email, SASFAA Nine News and Facebook was used to disseminate information.
6. 93 individuals volunteered during the 13-14 year. This includes Board Members.

Assessment:

1. July through April: one month had one post, three months had two posts, one month had four posts, two months had five posts, and three months had six posts.
2. The Technology Assessment and Integration Committee recommended that the Electronic Services Chair should serve a two year term of service or have a transition year whereby the President Elect will place someone on the committee. The rationale for increasing the term is the Electronic Services Chair is responsible for managing all aspects of Wild Apricot. It was suggested that the President and President Elect work together on selecting the candidate, consider a co-chair or chair-elect. Concerns were raised of extra expenses that may be incurred with adding a co-chair. The website updates should be made by the Electronic Services and Conference Chairs. Emails should be sent through the Communications and Outreach Committee. SASFAA may wish to look into forums instead of a listserv, similar to Blackboard for posting messages.
3. No assessment can be done.
4. Angie Black has done a great job on continuation development of the website.
5. The use of these methods has been effective to disseminate information to the membership.
6. Volunteer form was created and publicized.

2012-13 Recommendations Review:

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.
Evaluation: This recommendation has not been completed due to the fact that the next Long Range Plan has not been compiled. This should be given to the person leading the compilation of the 2016-2021 Long Range 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.

Evaluation: There was a special committee during 2013-2014 named Technology Assessment and Integration. A final report from this committee will be issued at the June 2014 board meeting. Thus, this recommendation should be carried forward.

3. (12-13) Make the listserv available for all SASFAA members to post.

Evaluation: This recommendation is not complete and should be modified and carried forward.

2013-14 Recommendations:

1. (12-13) Assessment of the website, specifically the maintenance and organization of content, in 13-14. This includes implementing any changes identified during the assessment process.

Evaluation:

2. (13-14) Review the feasibility of making the listserv available for all SASFAA members to post.

Evaluation:

3. (13-14) Remove the second sentence in Objective 10.6 that refers to the creation of the “SASFAA Kits” when developing the next Long Rang Plan.

Evaluation:

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 called Pipeline. Additionally, some SASFAA members made Hill visits as part of a legislative initiative with EASFAA and other associations.
2. Develop a monthly listserv update of legislative activities that are pertinent to the higher education community. Timely updates will be given more often; the monthly update will be a summary.

Assessment:

1. Continue to encourage visits with Congressmen but with better coordination of the combined groups.
2. The Legislative Relations Chair desired to have a monthly article on matters of concern from the Legislative Relations Committee, but was unable to accomplish that task. This should be considered for the future.

2012-13 Recommendations Review:

1. (11-12) Continue to have joint legislative advocacy with other regions.

Evaluation: This recommendation did occur during 2013-2014 and should be carried forward for future years.

2. (12-13) Identify one person from each state to be the “state” legislative contact person.

Evaluation: Based on my evaluation this was not completed and should be carried forward.

2013-14 Recommendations:

1. (12-13) Continue to have joint legislative advocacy with other regions.

Evaluation:

2. (12-13) Identify one person from each state to be the “state” legislative contact person, ensuring that all states have representation.

Evaluation:

3. (13-14) Distribute a monthly article to the SASFAA membership on matters of concern from the Legislative Relations Committee.

Evaluation:

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. There was a plan to send an electronic announcement to the membership in August regarding training needs, in addition to offering professional development opportunities that relate to categorical distinctions among membership in workshops, training and conference sessions.
2. An email was sent to SASFAA and state listservs soliciting session ideas and volunteers for moderators and session presenters. The committee discussed session topics at the August board meeting. The Conference Committee used Survey Monkey to compose an entire overall conference evaluation. These results have already been shared with the current conference committee, including the 14-15 chair, and the current executive board. Will

utilize suggestions from past conference chair, conference evaluation information, and solicit ideas about sessions and conference items from the membership and Board. Chris Tolson was selected to chair the 2014-15 Conference Committee. Chris created the committee (pending Board approval) that will work with her to plan for the 2015 annual conference in Memphis. The 2015 conference was promoted at the 2014 annual conference in Jacksonville.

3. There were no additional spaces available for SASFAA to offer more exhibitor/sponsor opportunities at the conference. Further exploration of this idea with the Conference Chair, President and Treasurer was conducted to see if this opportunity is feasible, and to consider surveying the SASFAA membership concerning interest. The conference committee will keep cost savings in mind when planning the conference agenda, with the goal of having the conference being self-supporting. The Sponsorship Chair solicited bids from potential drayage companies via RFP process and worked closely with Conference Chair and Site Selection Chair, as well as conference hotel's event manager, to ensure exhibit space at the annual conference exceeds expectations. The drayage company provided floor plans to the Sponsorship Chair who in turn shared them with the Conference Chair and hotel. At the time of the GAP meeting there was no evidence to show whether the conference was self-supporting or not, as a final reconciled conference budget has not been disseminated.
4. The Conference Chair will work directly with the Legislative Relations Chair to incorporate at least 1-2 legislative sessions at the conference. The conference committee will keep legislative, regulatory, public policy and operational topics, as well as, competencies in management and human relations in mind when planning the conference agenda.
5. Work collaboratively with state professional development committees and SASFAA Conference Committee. Hold one on-site conference committee meeting at the conference hotel in August, with other meetings occurring via email and conference calls.
6. The President will contact her counterparts at SACUBO, SACRAO and COHEO to see how we might best interact with them.
7. The conference committee will discuss the conference agenda in August and keep this in mind. Additionally, the conference committee will add a job board to the list of things to take care of at the conference. Several members missed the job board during 2012-2013.
8. There were no activities tied directly to this objective.
9. Review the 2008 Survey of Leadership Conference and results of the last Mid-Level workshop. Offer 1-day New Aid Officer's Workshop (NAOW) pre-conference training. The conference committee will work with the Vice-President and President when considering pre-conference activities.
10. Review evaluations from 2013 Summer NAOW and incorporate training needs in planning of 2014 NAOW (pre-conference and summer). Plans are in place to offer NAOW summer 2014. Utilize SASFAA Policy and Procedure Manual and historical reports when planning and implementing professional development activities.
11. Seek recommendations for faculty/trainers from current State Presidents, SASFAA past Vice Presidents, and the Executive Board beginning with the first board meeting of the year.
12. Follow SASFAA Policy and Procedure Manual guidelines when choosing a site for the summer NOAW. Evaluate past history, submit RFP's to sites in non-conference states for additional training needs. Site Selection will schedule site visits for 2017 potential conference site. Provide proposals for sites for board meetings, transition meeting, etc. (including contracts). The Summer 2014 NAOW site was secured at the University of South Carolina Upstate.
13. Plan to offer a cost effective Leadership Symposium or Management Institute.

Assessment:

1. The electronic announcement to the members in August did not occur. However, the Vice President worked collaboratively with Conference Chair regarding session topics and the Pre-Conference Agenda to ensure needs of membership were met.
2. At the 2014 conference the conference committee offered sessions that covered every topic that was requested by the membership via the listserv. The committee made sure that there was something for every sector and every aid administrator type at each time slot. The conference committee solicited ideas from the membership multiple times while planning the conference sessions and agenda as a whole. In the future, the Conference Chair recommends selecting a survey instrument that is more reliable than what was used in 12-13. The 2015 Conference Chair began putting the conference committee together, with the first conference committee meeting to be held in Memphis, Tennessee at the conference hotel: The Peabody (July 25th-26th). The logo is being designed and announcements will be sent out after the official conference committee meeting. The Theme is “Uncovering Our Purpose, Power, and Passion.”
3. There was additional space available at the hotel but no outside entities solicited this from SASFAA. To the knowledge of the Sponsorship Chair, only one sponsor had an extra meeting and they made all the arrangements through the hotel, not SASFAA (Sallie Mae breakfast meeting). As a result, this did not benefit SASFAA. The advice given is for the elimination of this recommendation in the future, as it should be handled separately between the various companies seeking space and hotel. There is no feasible additional revenue source to be gained by SASFAA’s involvement in this. The conference committee planned each event on the conference agenda keeping cost saving measures in mind. For the 2014 conference a drayage company was selected from the 3 bids that were offered to the board for their review. The selected company is the same one used the last time the SASFAA conference was held in Jacksonville and they are the hotel’s preferred drayage company. The downside of using this company is they are not local and any additional requests we asked for were cost prohibitive since SASFAA was expected to cover the hours necessary to drive from Orlando to Jacksonville at an eight hour minimum rate plus mileage. The Sponsorship Chair recommends considering using a local group if that is an option. Accepting the lowest bid may not be the best option in the end.
4. There were 2 legislative relations sessions offered at the 2014 annual conference. Additionally, the conference agenda had several sessions that were offered to meet the goals of the Long Range Plan (e.g., Washington Update, Legislative Advocacy, etc.).
5. Collaboration between the states and SASFAA conference committee is on-going. Additionally, the Conference Committee only met one time in person at the August 2013 board meeting. The remaining planning was done via conference call, WebEx, and emails.
6. This was not done.
7. The conference committee planned breaks in the vendor area to encourage networking. A new member/first time attendee meet and greet during Bingo on Monday night at the conference was also held. The conference committee encouraged seasoned members/financial aid administrators to socialize with those not playing bingo. A job board was provided near the registration desk for members to utilize.
8. There were no activities tied directly to this objective
9. Obtained information and documents from Past Presidents regarding Leadership Symposium and Mid-Level Workshops to determine training needs for current year. New Aid Officer’s Pre-Conference Workshop was held on February 16, 2014.
10. Summer 2013 evaluations were not compiled and all evaluations were not provided for this to occur. The Summer 2014 NAOW is scheduled to be held on the campus of the University of

South Carolina Upstate on June 15-20, 2014. The workshop cannot be assessed at this time since the report is written a month before it takes place.

11. Provided information to State Presidents and Board in September; received one nomination from President Elect in October. State Presidents had no nominations until the board meeting to approve instructors as members of Professional Development Committee. The Vice President followed process as outlined in SASFAA Policy and Procedure Manual. State Presidents should provide nominations and recommendations early in process and not simply comment once a list is provided.
12. Followed SASFAA Policy and Procedure Manual guidelines for site specifications. Received proposals and submitted for Board approval. Based on an evaluation of past history, submitted RFP's to sites in non-conference states for additional training needs, and all methods outlined in the objectives were done. Site visits for 2017 moved to 2014-15. Sites for the Summer NAOW and board meetings were secured within the objectives.
13. Discussions have taken place regarding Management Institute and Leadership Symposium, but no action on having one of these events in 13-14 occurred.

2012-13 Recommendation Review:

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.
Evaluation: This will be carried forward. It appears a more consistent format of a membership survey of training needs would be beneficial.
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.
Evaluation: This was done.
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.
Evaluation: This was not done and will be carried forward.
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.
Evaluation: Pre-conference opportunities can work as revenue generators, but it was advised by the Sponsorship Chair to eliminate this recommendation in the future as it pertains to exhibitors/sponsors seeking rooms for meetings at the hotel, and to allow this to be handled separately between the various companies seeking space and the hotel.
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.
Evaluation: This was done and should be continued.
6. (11-12) Site Selection should give consideration to soliciting locations other than the conference state for other training events within the same year.
Evaluation: This was done and should be continued.
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.

Evaluation: This was considered, but no events were scheduled. This will be carried forward.

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.
Evaluation: This was done and should be continued.
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.
Evaluation: This was done and should be continued.
10. (12-13) The conference committee should consider adding an event to encourage networking.
Evaluation: No new events were added at the 2014 conference, but opportunities were available (e.g., Bingo, talent show, meal functions, etc.).
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.
Evaluation: This was done.
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.
Evaluation: This is a duplicate (see #4)
13. (12-13) Site Section should give consideration to soliciting locations other than the conference state for other training events within the same year.
Evaluation: This is a duplicate (see #5)
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.
Evaluation: Evaluation: This was considered, but no events were scheduled. This is very similar to #7, which is being carried forward.

2013-14 Recommendation:

1. (12-13) 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. The biggest piece that seems to be missing is a consistent way to survey the membership on annual basis to identify their training needs.
Evaluation:
2. (12-13) Every effort should be given to invite and plan interactions and discussions with higher education associations such as SACUBO, SACRAO and COHEO.
Evaluation:
3. (12-13) 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:
4. (13-14) There were no activities in the Goals and Objectives document that specifically addressed "Objective 12.8: Encourage worthy and thought-provoking research, publications and presentations by members." The President, Vice President, and Conference Chair are encouraged to be more intentional with this in the future.
Evaluation:

5. (13-14) A formal evaluation of the Summer New Aid Officer's Workshop should take place, including feedback from the staff and participants. The results should be made available to the current and next year's SASFAA Board for discussion when planning the next event.
Evaluation:
6. (13-14) Update the SASFAA Policy and Procedure Manual to differentiate between the Professional Development Committee and New Aid Officer's Workshop Faculty, as they are not synonymous.
Evaluation:
7. (13-14) Review and update, as needed, the Summer Workshop Guide. This will include, but is not limited to, the selection of faculty, pairing of faculty instructors, Vice President responsibilities, Vice President-Elect responsibilities, etc.
Evaluation:
8. (13-14) Review the February 24-26, 2012 (Greensboro, NC) minutes to ensure the SASFAA Policy and Procedure Manual is updated with the applicable conference charity rotation schedule.
Evaluation:

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. Fiscal integrity will be ensured. The location of the annual Budget and Finance Committee review was based on a central location to the committee members, not at the Treasurer's location, as that may not have been the most affordable option. Many of the records are being scanned in an 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. During the August Board meeting, the Budget and Finance Chair will remind all board members of their fiduciary responsibility and encourage everyone to stay within their respective budgets as well as to submit the necessary documentation in a timely manner. The Budget and Finance Chair and Treasurer will review the options available at the current bank to determine if their online product will work with Quickbooks and SASFAA's established procedures. The Treasurer will submit all necessary reports to Mike Dunn - SASFAA's accountant. The accountant will prepare the report and it will be submitted to the President for signature and filing by the established deadline. Comply with budget parameters and approve expenditures and requests of reimbursement in accordance with guidelines outlined in the Guide to Financial Management. The 2013-2014 records will be given upon request to the Budget & Finance Chair for review. IRS form 990 will be filed timely as will the Georgia State return. All incorporation reports have been filed.
2. The Budget and Finance chair will work with the President and Treasurer to submit a zero based budget to be presented at the August Board meeting and will do what is necessary to monitor revenues and expenditures throughout the year. Continue to ensure that reserves total 100% of the one year operating budget and contractual obligations should always be less than the total reserves. Prepare, in collaboration with the president and the treasurer, the fiscal budget prior to the July/August Board meeting. Monitor expenditures, analyzes cash flow trends, and advises the Board regarding short-term and long-term investments. Conduct with the treasurer quarterly reviews of cash balances and expenses and makes appropriate recommendations. Recommend budget adjustments, as appropriate, to stay within budget guidelines. Reconcile and document daily transactions at the annual conference. Identify activities and events for sponsorship opportunities including SASFAA Nine News and directory advertisements, the annual conference, the New Aid Officers' Workshop, other training events.
3. The guide will be reviewed and any suggested changes will be presented to the board for their consideration. 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.

Assessment:

1. Complied with budget parameters and completed reimbursement request as outlined in the Guide to Financial Management. Fiscal integrity was ensured as the ongoing review of budget continues to assure that we are within guidelines. The meeting guidelines for the annual budget review should be maintained as outlined in activities. The Budget and Finance Committee met in a central location, which required travel and hotel for only one member of committee. During the August Board meeting, the Budget and Finance Chair reminded all board members of their fiduciary responsibility and encouraged everyone to stay within their respective budgets as well as to submit the necessary documentation in a timely manner. The Treasurer and Budget Chair scheduled a meeting for the week of April 6th to review the options available at the current bank to determine if their online product will work with Quickbooks and SASFAA's established procedures. The Treasurer kept the Budget and Finance Chair in the loop and sent a copy of the completed tax form when finished. It was reported that all necessary paperwork was submitted to Mike Dunn. It was reported that SASFAA stayed within budget for all categories and is operating within a fiscally responsible environment. The Legislative Relations Chair recommends increasing that committee's line item in the budget to provide for representation from each SASFAA state on the Congressional Hill Visits. A minimum of \$9,000 will be needed for this purpose, in addition to routine Legislative Relations Committee expenses (Chair to attend board meetings, etc.).
2. Budget & Finance Chair worked with the President and Treasurer to complete this task as assigned. The reserves total at least 100% of the one year operating budget and the contractual obligations are less than the total reserves. It was reported that all budget monitoring functions were done within compliance of set policies. It was reported that the daily transactions at the annual conference were reconciled and documented. New ribbons and name tags were ordered for the conference. This was not originally a part of the membership budgeted amount. However, the Membership Chair was not able to attend the November board meeting and it appeared the line item could absorb the expense. The conference comps were not as high as expected so the SASFAA budget paid room expenses that otherwise would have been free for the Membership Chair. As of the writing of GAP the Membership Chair felt this may have created an overage in the membership budget. However, the President followed up in an e-mail to the GAP Committee Chair that she obtained an updated budget report from the Treasurer, and after talking with the Membership Chair, the Membership budget line is not currently overspent and has sufficient funds remaining to cover the chair's transition board meeting expenses as well. This appears to be due to the fact that the Membership Chair was unable to attend the November Board meeting so the budget did not have to absorb costs associated with that meeting. If she had attended the meeting, then the budget for this year might not have been sufficient. The Membership Chair recommends that the ribbons, and potential conference costs if comps are not available, be included in the budget line during the budgeting process in the future. As of the time of the GAP meeting an updated budget was not available for the committee's review. The last budget available was from February 2014.
3. It was reported that the review of the Guide to Financial Management was completed face-to-face on 1/17/14, and reported on at the February Board Meeting.

2012-13 Recommendations Review:

1. (11-12) Continue to use an outside accounting firm.
Evaluation: Mike Dunn was used as SASFAA's accountant.
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.
Evaluation: Will continue to ensure that the Treasurer or the Budget and Finance Chair have board experience. This will ensure fiscal integrity.
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.
Evaluation: This practice was done in 13-14, but the Guide to Financial Management was not updated with this statement. Therefore, this recommendation is being carried forward.
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.
Evaluation: The Treasurer and Budget & Finance Chair had a meeting scheduled for April 6th to review the options available at the current bank to determine if their online product will work with Quickbooks and SASFAA's established procedures. This meeting did not occur and will be carried forward to 14-15.
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.
Evaluation: This was done. The review was conducted on January 17, 2014, at the TSAC offices in Nashville. The Budget and Finance and two committee members were on-site for the review. A third member was available via phone. The review was for the 12-13 Treasurer, who was available the entire day for any questions via phone. It was not necessary to contact the Treasurer during the review. Part of the review was a 100% review of all expenses. There were no findings and two recommendations. The report was submitted to the Board.
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.
Evaluation: This was done.

2013-14 Recommendation:

1. (12-13) A committee should be appointed to determine if it is possible to synch banking records and Quickbooks to avoid duplicative data entries.
Evaluation:
2. (12-13) 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.
Evaluation:
3. (13-14) The Legislative Relations Chair recommends increasing that committee's line item in the budget to provide for representation from each SASFAA state on the Congressional Hill

Visits. A minimum of \$9,000 will be needed for this purpose, in addition to routine LRC expenses (Chair to attend board meetings, etc.)

Evaluation:

4. (13-14) Include conference ribbons and name tags in the membership budget each year. Also, include conference expenses in the applicable committee chair/officer budget line items for those individuals covered by SASFAA. This is to ensure money is earmarked to pay those expenditures should there not be enough comps from the hotel to cover the hotel related expenses.

Evaluation:

5. (13-14) It would be beneficial to update The Guide to Financial Management with a section entitled Guidelines and Procedures for the Budget and Finance Chair (similar to the Treasurer section).

Evaluation:

6. (13-14) The Guide to Financial Management should be updated to specifically state that every effort should be made to ensure that either the Treasurer or Budget and Finance Chair have board experience in either of these two positions.

Evaluation:

7. (13-14) It is recommended that The Guide to Financial Management be updated to include instructions that the location of the annual review conducted by the Budget and Finance Committee 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.

Evaluation:

8. An updated budget should be provided to the GAP Committee in time for the annual GAP meeting and review.

Evaluation:

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. Determine the appropriateness of fees assessed for dues, the annual conference, workshops and ancillary services including vendors, at least once every five years.
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.
3. Monitor, review and revise, as necessary, the Association's investment strategy for positioning the Association's finances. In Quickbooks a chart of accounts will be updated to include changes, new lines and all investment accounts. Credit applications will be completed as needed, including for the 2015 conference.
4. SASFAA liabilities should be tracked in QuickBooks, then the obligations would appear in reports as an offset to reserves. This information might be helpful to the membership at large who is not aware of the organization's contractual obligations. Review routinely all risks and liabilities affecting cash management and contractual obligations.
5. Determine the appropriate cash balance to be brought forward annually.
6. Incorporate the financial impact of vendor sponsorship in the budget planning process annually.

Assessment:

1. Entire Board was involved in the decision process for fees, dues, and other income.
2. It was reported that this was completed as assigned, but there was no documentation (e.g., updated budget, financial reports, etc.) available to the GAP Committee at the time of the GAP meeting to show this.
3. It was reported that this was completed as assigned. Investment tracking was transitioned back to Budget & Finance Chair.
4. Budget and Finance Chair and Treasurer will work together to determine the best way to track this in Quickbooks. The process of reviewing, from a fiscal liability perspective, all contract proposals and makes recommendations to the president is ongoing and will be completed as assigned. It was reported that the review was conducted as assigned.
5. It was reported that this was completed as assigned, but there was no documentation (e.g., updated budget, financial reports, etc.) available to the GAP Committee at the time of the GAP meeting to show this.
6. It was reported that this was completed as assigned. Emails were prepared and distributed to all previous and potential sponsors throughout the months of November through February. SASFAA was fortunate to have 5 Priority Training Sponsors and 32 Standard Training Sponsors. One of which did not have a booth, just conference support. SASFAA should review the Priority Package offerings. There is no real incentive to take Package A for that extra \$1,000. Though the sponsors receive 2 more comps, it is still less expensive for them to pay \$550 for two registrations. Of the 37 vendors, 4 were first-time participants that took advantage of the 25% discount. That option was very well received. Further discussion should take place in regards to other opportunities SASFAA can offer to enhance participation of sponsors.

2012-13 Recommendations Review:

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.
Evaluation: This was done.
2. (11-12) Stress to the entire board the responsibility and importance of working within an established budget.
Evaluation: This was done.

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.
Evaluation: It was reported that the Budget and Finance Chair and Treasurer will work together to determine the best way to track this in Quickbooks, but per an e-mail with the Budget and Finance Chair this was not accomplished and will be carried forward.

2013-14 Recommendations:

1. (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.
Evaluation:
2. (13-14) Further discussion should take place in regards to other opportunities SASFAA can offer to enhance participation of sponsors.
Evaluation:
3. (13-14) The Priority Package offerings for sponsorship should be reviewed. There is no real incentive to take Package A for that extra \$1,000. Though the sponsors receive 2 more conference comps, it is still less expensive for them to pay \$550 for two registrations.
Evaluation: