

# **SASFAA Governance and Strategic Planning Committee Assessment**

**2011-2016 SASFAA Long-Range Plan**

**2014-2015**

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



**May 2015**

**Zita Barree, Chair  
2014-2015 SASFAA Past-President**



May, 2015

**TO:** SASFAA Board of Director  
SASFAA Membership

**FROM:** Governance and Strategic Planning Committee

Zita Barree, Chair, Hampden-Sydney College  
Billie Jo Hamilton, University of South Florida  
Brad Barnett, James Madison University  
Carolyn Sparks, Wofford College  
Lester McKenzie, Tennessee Technical College  
Amy Berrier, University of North Carolina-Greensboro (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 2014-2015; 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. By-Laws have been reviewed and updated. The changes outlined below and over the next five pages have been approved by the membership and were sent to the Electronics Chair to post to the SASFAA website.

#### **Treasurer - Elect Position**

During the November 2014 board meeting, the Executive Board approved the creation of the Treasurer-Elect position. The Treasurer Elect position will be a voting position for SASFAA and provides an opportunity for training of the future Treasurer to learn the responsibilities and also assist the Treasurer as needed. Several states already have this position as a part of their board. The duties of the Treasurer-Elect should be fully defined to ensure that the position is not a hindrance. A benefit for adding a Treasurer-Elect is to have someone available in the event the Treasurer resigns. Should the Treasurer-Elect resign, the President would appoint someone to the position. A working group will be appointed after February to develop the policies and procedures for the Treasurer Elect position, if the position is approved by the membership.

#### **Recommended By-Laws Changes (changes in bold):**

Article VI –Officers

**Current Section 1:** The elected officers of the Association shall consist of a president, vice president, president-elect, immediate past president, secretary and treasurer, who must be active members.

**Recommended new Section 1:** The elected officers of the Association shall consist of a president, vice president, president-elect, immediate past president, secretary, treasurer, and treasurer-elect, who must be active members.

**Current Section 5:** The secretary and treasurer shall serve for periods of two years; the secretary to be elected in even years, the treasurer in odd years.

**Recommended new Section 5:** Delete “the treasurer in odd years” and add the additional language to have it read –*The secretary and treasurer shall serve for periods of two years. The*

*secretary will be elected in even years. The treasurer-elect shall be elected in even years to serve for a period of one (1) year. The treasurer-elect of the association shall automatically succeed to the office of treasurer for a two (2) year term upon expiration of the term of the office of the previous treasurer and the term of the treasurer-elect.*

Article VII –Duties of Officers

**Current Section 1:** (next to the last sentence of the section) The president shall authorize expenditures and have the authority, in addition to the treasurer, to pay the bills of the Association.

**Recommended new Section 1:** Add the bolded words to the section –....The president shall authorize expenditures and have the authority, in addition to the treasurer **and treasurer-elect**, to pay bills of the Association.

**Add a Section 7:** *The overall function of the treasurer-elect is to assist the treasurer in all duties as outlined in the By-Laws and the SASFAA Policy and Procedures Manual. This will allow the elected individual to gain the experience needed to effectively hold the office of treasurer.*

Article X –Executive Board

**Current Section 2(a):** The Board shall consist of the following; 2(a) the president, vice president, president-elect, immediate past president, secretary and treasurer, and...

**Recommended new Section 2(a)** – Delete the word “and” before treasurer. Add treasurer-elect after “, treasurer”

**Moving Parliamentarian role to Immediate Past President**

At the November board meeting, the Executive Board approved moving the role of the Parliamentarian of the Association from the President-Elect to the Immediate Past President. This allows the President-Elect to observe and assist the President as needed while learning the duties for his/her upcoming year as President. The Immediate Past President would already have experience conducting board meetings at the regional level and would also be a voting member on the NASFAA Board. He/she should be well versed in parliamentary procedure.

**Recommended By-Laws Changes (changes in bold):**

Delete the following sentence from Article VII Section 3.

**The president-elect shall also serve as the parliamentarian of the Association.**

Add the following sentence to end of Article VII Section 4.

**The immediate past president shall also serve as the parliamentarian of the Association.**

## Changes/additions to Membership Classifications

At the November board meeting, the Executive Board accepted the proposed new membership classifications as presented by Nancy Garmroth, Membership Chair. SASFAA currently has two membership classifications - Active and Honorary. The membership committee felt the need to have two additional classifications - Retired and Associate. The Associate classification allows membership for persons for whom financial aid is a secondary or related job responsibility and for persons for whom financial aid is a primary job responsibility but the school is outside the SASFAA region. Often SASFAA has individuals who meet this criterion and want to attend New Aid, the annual conference or another event but cannot be a SASFAA member.

Similarly, many SASFAA members who retire want to stay connected to the Association and attend events but no longer meet the Active membership criteria. These seasoned members also offer knowledge and experience. The Retired classification allows membership for persons who were actively engaged for at least 10 years in the administration of financial aid or who have been approved by the Board and are no longer employed in the financial aid profession.

Retired and Associate members will pay membership dues. However, only Active members are eligible to hold office, serve on committees and vote.

The following by-laws changes were approved by the Board to put forth to a vote by the SASFAA membership (**proposed changes in bold**):

### Article IV -Membership

Section 1. There shall be **four (4)** classes of members of the Association – Active, Honorary, **Associate and Retired**.

A. Active membership in the Association shall be open to individuals **who**:

1. Are associated with the administration and support of student financial aid in post-secondary institutions of education, in government offices and agencies, in lending institutions and organizations and in other **private, community or civic organizations** or programs, and
2. Are located in or who have administrative responsibility in Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee or Virginia, and
3. Have paid annual **membership** dues for the current year.

(current A #4 –“have been approved by the Executive Board” is proposed to be deleted).

**Individuals who meet the membership criteria in Article IV, Section 1(A)(1) of the Bylaws and are employed by a post-secondary institution or agency outside the SASFAA region that has a branch campus within the SASFAA region or is a part of a chain of institutions within the SASFAA region shall be considered to meet the conditions of Article IV, Section 1(A)(2).**

**Individuals who meet the membership criteria in Article IV, Section 1(A)(1) of the Bylaws and who are employed by lending institutions, sponsors, civic organizations or other such organizations located outside the SASFAA region but which do financial aid related business within the SASFAA region shall be considered to meet the conditions of Article IV, Section 1(A)(2).**

B. Honorary membership shall be presented to persons who have performed outstanding service in the field of support and/or administration of student financial aid and who are voted **Honorary** membership by the Board.

**Honorary membership cannot be bestowed on anyone who is a practicing financial aid administrator. The Board shall decide if a person's primary responsibility is the administration of financial aid.**

**All SASFAA Past Presidents and Distinguished Service recipients who are no longer directly involved in the administration of financial aid shall be automatically granted Honorary membership. Unless otherwise eligible, individuals nominated for Honorary membership must be approved by a majority vote of the Board.**

C. Associate membership shall consist of all members not eligible for Active, Honorary or Retired membership. Associate membership in the Association shall be open to individuals who:

1. **Have primary job duties and responsibilities that fall in areas other than the administration and support of student financial aid in post-secondary institutions of education, in government offices and agencies, in lending institutions and organizations and in other private, community or civic organizations or programs but for whom financial aid administration is a secondary or related job responsibility, or**
2. **Have primary job duties and responsibilities that include the administration and support of student financial aid in post-secondary institutions of education outside the SASFAA region, and**
3. **Have paid annual membership dues for the current year**

D. Retired membership shall consist of individuals who:

1. **1. Were actively engaged for at least 10 years in the administration of student financial aid or have been approved for this membership category by a majority vote of the Board, and**
2. **Are no longer employed in the financial aid profession, and**
3. **Are not eligible for Active, Honorary or Associate membership, and**
4. **Have paid annual membership dues for the current year.**

Section 2. Membership shall be individual rather than institutional and shall not be transferable.

Section 3. Active membership shall be on an annual basis corresponding to the fiscal year as defined in Article V of these Bylaws. **Active** membership shall terminate **at the end of the**

**membership year** when a member no longer meets the criteria outlined in Section 1 (A) of this Article. **Associate and Retired membership terminates at the end of the membership year.**

Section 4. Application for Active, **Associate and Retired** membership shall be made to the Treasurer.

Section 5. **The following items detail the rights of membership in the Association:**

**A. All Active, Associate, Honorary and Retired members are listed annually on the membership roster and are provided with all SASFAA mailings and materials.**

**B. Active members only:**

- 1. Are eligible to hold office or to be appointed to a leadership position with the exception that individuals serving in the offices of Vice President, President-Elect, President and Immediate Past President shall be affiliated with a post-secondary institution, and**
- 2. May serve on Association committees, and**
- 3. May vote in the annual election of officers, on Bylaw changes and other items needing membership approval.**

**Technical/Minor Changes to the Bylaws:**

The 2013-2014 Executive Board approved the following by-laws changes to be put forth to the membership for a vote.

**Recommended By-Laws Changes (changes in bold):**

Article V –Finance

**Current Section 4:** The books of the Association shall be financial reviewed at the conclusion of each of the Association’s fiscal years in the manner prescribed by the Board.

**Recommended new Section 4:** The books of the Association shall be **financially** reviewed at the conclusion of each of the Association’s fiscal years in the manner prescribed by the Board.

The following two changes are being recommended because NASFAA changed the structure of its board so that beginning with the 2013-14 year, the SASFAA Past President serves as the voting member on the NASFAA Board and the SASFAA President serves as the observer.

**Article VII**

**(You will be voting on moving the parliamentary role from the President-Elect to the Immediate Past President separately.)**

**Current Section 3:** The president-elect shall assist the president and in all ways prepare for the term of office. The president-elect shall perform all the duties as designated by the president and perform such other duties and functions as may be required by the Association. The president-

elect shall serve as the alternate SASFAA representative to the Board of Directors of NASFAA. The president-elect shall also serve as parliamentarian of the Association

**Recommended new Section 3:** Same as above but delete the sentence “The president-elect shall serve as the alternate SASFAA representative to the Board of Directors of NASFAA.”

**Current Section 4:** The immediate past president shall assist the president and serve as Chair of the Nominations Committee, the Committee on Awards and the Governance and Planning Committee. In the event of the absence or disability of both the president and the vice president, and with the concurrence of the Board, this officer shall have all the powers and perform all the duties of the president. The immediate past president shall serve as one of the SASFAA voting representatives of the Board of Directors of NASFAA.

**Recommended new Section 4:** Same as above but delete “one of” and delete the “s” off of representatives in the last sentence. The last sentence should now read “The immediate past president shall serve as the SASFAA voting representative of the Board of Directors of NASFAA.”

#### Article X–Executive Board

**Current Section 2, item b:** the chief executive officers, or their designated representatives, of the state financial aid associations in the nine states of the Association.

**Recommended new Section 2, item b:** the chief executive **officers (state presidents)**, or their designated representatives, of the state financial aid associations in the nine states of the Association.

#### Assessment:

1. Committee recommendations were approved by the boards and presented to the membership for a vote at the February 2015 Annual Business Meeting. All recommendations passed.

#### 2013-2014 GAP Recommendations Review:

1. (13-14) The Secretary recommends providing access to the Secretary to post updates to the website.  
*Evaluation: Access has been granted to the Secretary to post updates of the minutes to the website. In addition, the Electronic Services Chair offered to post the minutes (and has done so) whenever requested by the Secretary.*
2. (13-14) Based on a recommendation from the President-Elect and a goal set by the President, the Board should explore and consider moving the Parliamentarian 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: This By-Law change was approved at the February 2015 Annual Business Meeting.*

#### 2014-15 GAP Recommendations:

1. (14-15) Update the SASFAA Policy and Procedure Manual to include language that continues to grant the Secretary access to posting updates to the website.  
*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 President and President-Elect reviewed the terms and composition of the board. The President-Elect recommended that SASFAA add the position of Treasurer-Elect after the issues with the Treasurer position were experienced this past fall. The issues were related to an unexpected job change with the Treasurer, not due to any fault of the individual serving as Treasurer. Discussions also were started to change the Vice-President position to a two year term. Those discussions will continue during 2015-2016 year.

#### Assessment:

1. The Treasurer-Elect position/bylaws change was approved by the membership at the February 2015 Annual Business Meeting. Discussions regarding the tenure of the Vice President position should continue in 2015-16.

#### 2013-2014 GAP Recommendations Review:

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: Consider making the Vice President's position a two year term position. This would require a change to Article VI Section 3 of the By-Laws and will be addressed in the 2015-16 year. Additionally, the position of Treasurer-Elect was added as well as moving the role of parliamentarian from the President-Elect to the Past-President.*
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: Consider making the Vice President's position a two year term. This would require a change to Article VI Section 3 of the By-Laws and will be addressed in the 2015-16 year. Additionally, the position of Treasurer-Elect was added as well as moving the role of parliamentarian from the President-Elect to the Past-President.*

#### 2014-15 GAP Recommendations:

1. (14-15) Consider making the Vice President's position a two year term position. This would require a change to Article VI Section 3 of the 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. In 2014-15 a State Presidents liaison was added to the board. The purpose of the position was to ensure that state presidents were able to meet before board meetings to come together with any action items or concerns they would like to bring to the board as a group. A Long Range Planning Chair was also added to the board to compile information to put into place for the next 5 year plan. An ad-hoc committee was created to work on developing a Management Institute workshop for the 2015-16 year. Lastly, a Business Partner Liaison position was also added to the board.
2. It was reported that this was accomplished by all of the committees with the approved goals and objectives.
3. This is a topic that was addressed at the transition meeting, and also at each board meeting this year. In reviewing the book: "Road to Relevance," the Board continued the discussion of whether all board members need to attend on-site meetings. This year all Board members were included in all meetings. The current President-Elect supports the idea of not having some committee chairs attend all of the meetings. The President-Elect will be looking at other means of having meetings that will cut cost such as webinars, conference calls, etc. when becoming President in 2015-16. The 2011-16 LRP Section 1, goal 2, object 3 states "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" and is in direct conflict of the Policy and Procedure manual that states all committee chairs are to attend all Board meetings. The Long Range Planning chair stated this will be removed from the new LRP.
4. The President appointed four new and eight returning chairs. The GAP Committee defined "returning" as any individual who had been on the SASFAA Board before, not necessarily someone returning to the same chair role.
5. 10 females/2 male; 8 Caucasian/3 African American/1 Hispanic; 1 private two year, 2 lender/agency, 3 public two year, 3 private four year, and 3 public four year.
6. The GAP Committee met in May 2015 to review this information.

7. The evaluation process of the Long Range plan began in July 2014. The Committee has gathered LRP's from states and regions, held a listening session at the SASFAA Conference, completed a Board survey and developed and distributed an additional survey that was sent out to the membership in April. This information along with financial records will be used to complete the LRP to be voted on by the 2015-16 Board.

#### Assessment:

1. There was no evaluation provided by the board members submitting their GAP evaluations regarding the success of these positions. However, at one point the SASFAA Board was streamlined to include members necessary to perform the business of the association, while keeping costs associated with the board to a minimum. The State President Liaison position was added in 14-15 and there is no clear evidence to support why a board position needed to be created for this, when a state president could take a leadership role for the group instead. This liaison position adds expenses to the Board budget. The Long Range Plan Chair can be considered a necessary member of the Board during years when SASFAA is updating the Long Range Plan, and potentially the year before to help prepare the groundwork for the updated plan. Is it necessary to have a Sponsorship Chair and Resource Partner Liaison, or can these be a single position as they once were?
2. All committees reported success with this.
3. The President-Elect plans to address this in 15-16 by having task force chairs not attend board meetings and is exploring using the WebEx platform for some meetings during the year. The GAP Committee supports this type of evaluation.
4. There is no consistent definition of how "new" and "returning" is defined in this context. It would be advisable to create a standard definition and some metrics by which to measure this objective.
5. There is no consistent definition on what configuration would be considered inclusive. It would be advisable to create a standard definition and some metrics by which to measure this objective.
6. This is an annual process that should continue to ensure SASFAA continues meeting the goals and objectives outlined in the most recent Long Range Plan.
7. The LRP is set for renewal in 2016. The 2014-15 President appointed a Long Range Planning Chair and committee to begin the review process. The preparation work done in 2014-15 will assist SASFAA in updating the LRP in 2015-16.

#### 2013-2014 GAP Recommendations Review:

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: The GAP spreadsheet includes a "Notes/things to consider" column, but not the recommended "Activities That Support The Task" and "Results/Outcomes And What You Do Differently" columns.*
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: The next Long Range Plan will be updated and adopted in 2015-16. This should be considered and evaluated at that time.*

#### 2014-15 GAP Recommendations:

1. (14-15) Update the SASFAA Policy and Procedure Manual to indicate that the President must take the Long Range Plan 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 no later than two weeks prior to the first Board meeting following the Transition meeting.

*Evaluation:*

2. (14-15) Update the SASFAA Policy and Procedure Manual to include the President-Elect as an ex-officio member of the GAP Committee 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:*

3. (14-15) Update the SASFAA Policy and Procedure Manual to include the incoming President-Elect (elected at the most recent Annual Business Meeting) as an ex-officio member of the GAP Committee prior to taking the office of President-Elect. 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:*

4. (14-15) Evaluate the 2014-15 Board positions to determine if all positions are necessary to continue. It appears the Board grew by three positions, which adds costs to the SASFAA, and it is recommended that these positions, and others, be reviewed to determine if those positions and costs are necessary. It’s important to note that Section 6.1.2 of the SASFAA Policy and Procedure Manual states that all Board liaisons not identified in this section must be approved by the Board.

*Evaluation:*

5. (14-15) Update Section 6.1.3 of the SASFAA Policy and Procedure to include a sentence at the end of the paragraph stating, “Any special ad hoc committee the president desires to establish must be approved by the Board.”

*Evaluation:*

6. (14-15) To accompany the next Long Range Plan, the GAP Committee recommends the entire process for assigning LRP goals and objectives be evaluated, as well as the annual evaluation process conducted by the GAP Committee. The current process is rather cumbersome, difficult to follow, and the GAP Committee feels it may not be necessary or appropriate for SASFAA to work on each objective every year.

*Evaluation:*

7. (14-15) There is no consistent definition of how “new” and “returning” is defined in the context of the appointment of committee chairs. It is advisable to create a standard definition and some metrics by which to measure this objective.

*Evaluation:*

8. (14-15) There is no consistent definition on what configuration would be considered inclusive from the perspective of the appointment of committee chairs. It is advisable to create a standard definition and some metrics by which to measure this objective.

*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. 63 Caucasian, 15 African American, 3 Hispanic, 3 unspecified; 29 males/55 females; 15 public two year, 29 public four year, 23 private four year, 4 grad/professional, 12 agency, 1 private two year; years of experience ranged from 2 to 41, with an average of 17.7.
2. These committees have representation from each of the nine SASFAA states.
3. Committee Chairs had discretion, with Board approval, of selecting the necessary committee members to complete their goals and objectives.
4. 45 new/32 returning members.
5. Budget & Finance reported on-site meeting for the Annual Review of the Treasurer Records; Communication & Outreach reported there was no committee used, but the Electronic Services Chair worked closely with this committee chair; Conference Committee met once in person in conjunction with the summer 2014 Board meeting and followed that meeting with conference calls and e-mails; Electronic Services reported no committee meeting expenses; Global Issues reported all committee work was done electronically and by phone; Legislative Relations reported monthly meetings by conference calls and an in person meeting was held during SASFAA's annual conference; Long Range Planning reported 3 conference calls and one in-person meeting at the annual conference, in addition to e-mail conversations, but they feel an in-person meeting will be necessary to begin to write the plan and write the updates; Membership reported communication was done via e-mail; the Awards Committee and the

Nominations & Elections Committee did all their work by conference call or by e-mail; Resource Partners Liaison reported no meetings; the Secretary and Treasurer reported no additional meetings outside of the scheduled Board meetings; the Site Selection Committee utilized emails and phone calls exclusively to conduct all the necessary business required to meet the goals and objectives set forth; the Sponsorship Committee utilized emails and phone calls exclusively to conduct all the necessary business required to meet the goals and objectives set forth; the Vice President reported conference calls were used by the Leadership Symposium subgroup, mid-level preconference and summer NAOW teams, while a train-the-trainers planning meeting was held for the NAOW where people were asked to volunteer to share rooms (Only a few people were willing to share rooms. However, several people car-pooled.); President-Elected reported one in-person meeting with Management Institute staff who were at the February SASFAA Annual conference and no other meetings outside the regular SASFAA Board Meetings; the GAP Committee will have one in person meeting to write, review, and finalize the GAP report. Lastly, the President reported a total of three Board Meetings with all members attending (this does not include the last board meeting that will be held in June 2015). He also stated SASFAA worked to keep costs down by keeping the Board Meeting to a one day event, with members arriving the afternoon before for a committee meeting if needed, and the meeting being held the next day and concluded by 5:00pm.

6. Reports have not been submitted. Reports should be submitted at year end.

Assessment:

1. There is no consistent definition on what configuration would be considered inclusive. It would be advisable to create a standard definition and some metrics by which to measure this objective.
2. It would be beneficial for the 2015-16 Conference Committee Chair and President to review the SASFAA Policy and Procedure Manual and Conference Handbook regarding the composition of the conference committee. If updates are needed they should be brought before the Board for consideration.
3. GAP found no issues with the number of committee members.
4. There is no consistent definition of how “new” and “returning” is defined in the context of appointing committee members. It is advisable to create a standard definition and some metrics by which to measure this objective.
5. Committees should be proud about conducting the business of SASFAA while keeping the in person meetings to a minimum. The President should be commended for trying to minimize the time needed at Board meetings; however, after reviewing the Board meeting agendas it appears the same number of room nights and travel days were needed whether the Board met on the third day or not. Traditionally, the third day has been a day to meet in the morning and travel home, while the Board meetings in 2014-15 had the third day as just a travel day. There were also some additional costs associated with Board meetings in 2014-15 due to the addition of the State President Liaison and Resource Partner Liaison positions.
6. Final reports in progress. All committees and/or board positions reporting stated this will be done with the exception of the Resource Partners Liaison, who reported this does not pertain to this position. It is the assessment of the GAP Committee that this does apply to this position and a year-end report of activities should be submitted to help determine if this position is necessary in future years. Additionally, even though the State President Liaison was not provided a tab on the GAP Spreadsheet, she should be required to submit a year-end report for the same reasons stated above.

2013-2014 GAP Recommendations Review:

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 30<sup>th</sup>.

*Evaluation: The SASFAA Policy and Procedure Manual on the website (dated October 2014) does not have the update, despite the GAP Spreadsheet saying the change was made.*

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: The 2014-15 Sponsorship Chair is experienced and shadowing was not necessary. The President-Elect reported selecting a new Chair for 2015-16 who was a member of the current 2014-15 Sponsorship Chair's committee. She worked closely with the current chair throughout the year to be better prepared for the position in 2015-16.*

2014-2015 GAP 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 30<sup>th</sup>.

*Evaluation:*

2. (14-15) 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. The list should be current and up-to-date and given to the GAP Committee at least 30 calendar days before the GAP Committee meets. It is the responsibilities of the committee chairs to have each of the committee members complete this document.

*Evaluation:*

3. (14-15) There is no consistent definition on what configuration would be considered inclusive from the perspective of the appointment of committee members. It is advisable to create a standard definition and some metrics by which to measure this objective.

*Evaluation:*

4. (14-15) There is no consistent definition of how "new" and "returning" is defined in the context of appointing committee members. It is advisable to create a standard definition and some metrics by which to measure this objective.

*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. This year the Board approved \$1,000 for each state President to reach out to their state and see who their future leaders may be to attend our SASFAA Leadership Workshop. Therefore the Board did not send anyone other than the President-Elect to the NASFAA Leadership Conference.
2. The NASFAA inter-regional visitation program is no longer in existence.
3. Recognition was provided at the February conference for state and regional leaders. The President stated he tried to ensure that recognition was given throughout the year to all who went that extra mile in serving SASFAA.
4. The Leadership Symposium was held November 20-22, 2014 in Birmingham, AL and was chaired by Lianne Masterson. The other instructors were Ron Day, Billie Jo Hamilton and Marian Dill. This event came in \$10,000 under budget. A summary was provided in both the November and February Board reports.
5. There was no activity reported on this Objective in the GAP Spreadsheet, as there weren't any state projects to acknowledge to the SASFAA membership.
6. The GAP Committee does not have the budget detail to determine if the scholarship was included in the Past President line of the budget, but the assumption is it was included.

Assessment:

1. In a year when SASFAA held a Leadership Workshop it was appropriate to divert SASFAA funds towards supporting attendance at this event rather than the NASFAA Leadership Conference.
2. The NASFAA inter-regional visitation program is no longer in existence.
3. Met the established goal. At the February 2015 conference Sandy Neel was recognized as the NASFAA Regional Leadership Award recipient, Heather Boutell and Jeff Dennis were awarded the SASFAA Distinguished Service Award, and Michael Morgan and Walter Nowicki with recognition awards. Committees, volunteers, and sponsors were also publically recognized at the conference.
4. According to the February Board Meeting report, the Vice President stated that the "participants agreed this was a good event and a great investment."
5. There was no activity reported on this Objective in the GAP Spreadsheet.
6. The current Past President expects to receive a \$2000 scholarship at the end of the 2014-15 year.

2013-2014 GAP Recommendations Review:

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: It is unclear if something was submitted this year, or postponed until 15-16. The November 2014 Board Meeting minutes say, "Leadership symposium was recommended for the NASFAA award," but there is no evidence that this was done. Upon follow-up after the GAP Committee meeting, it was determined that the Leadership Symposium was mentioned as a possible submission for 2016.*

2. (12-13) SASFAA should have a Management Institute or Leadership Symposium, as the last two were held in the fall of 2008.

*Evaluation: A Leadership Symposium was held in November 2014 and plans are underway to hold a Management Institute in October 2015.*

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: Since a SASFAA Leadership Symposium was held in 14-15, resources were diverted from the NASFAA Leadership Symposium to the SASFAA event. Additionally, the President-Elect encouraged all of the incoming State Presidents to attend the NASFAA Leadership Conference in March 2015, as well as encouraged them to recommend upcoming leaders from their states to attend. Some members of the SASFAA Legislative Relations Committee attended the event, along with the SASFAA President-Elect.*

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: This was not done at the February 2015 Annual Conference; however, a mid-level workshop was offered as a pre-conference option.*

#### 2014-15 GAP Recommendations:

1. (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:*

2. (14-15) If financially feasible SASFAA should have a Management Institute in 15-16, as the last one was held in the fall of 2008.

*Evaluation:*

3. (14-15) Per the Long Range Planning Chair, "Although I agree that we should do projects that could be submitted for a NASFAA Award, submitting a project just for the sake of submitting one does not make sense. We need to carefully develop an innovative project, gather data and submit for an award when we feel the project is significant and it has been thoroughly analyzed to determine that it achieved what expected outcome." The GAP Committee recommends this requirement be reviewed in the Long Range Plan.

*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. Membership information was sent out via the SASFAA website and via Facebook. Application and renewal information was sent to each state.
2. By-law changes to membership classifications were approved at the February 2015 Annual Business Meeting. Four classes of membership were approved at that time: active, honorary, associate and retired. A membership survey was conducted in April 2014.
3. This was accomplished during the 2013-14 year and results were provided to the Long-Range Planning committee.
4. First time attendees and new memberships were invited to meet the Board and Membership Committee at the Conference and to stay and enjoy the Bingo activity.
5. The Membership Chair reported she was unable to reconcile membership in Wild Apricot or track statistics.
6. The Membership Chair reported she did not have the results of the 2013-14 survey.
7. The membership application had questions asking to be a mentor and requesting a mentor. Individuals requesting mentors were paired with SASFAA members who could serve in this capacity. This task is difficult because of not knowing what level or type of support the mentee needs.
8. By-law changes to membership classifications were approved at the February 2015 Annual Business Meeting. Four classes of membership were approved at that time: active, honorary, associate and retired. No other activities were reported about membership services being offered to address the needs and interests of all sectors in a fair and equitable manner.

Assessment:

1. As of the GAP review in May 2015, final membership numbers based on revenue for 2013-14 were 1,253 and the current 2014-15 number based on revenue is 1,079. The GAP Committee acknowledges that 2014-15 numbers could increase when the June SASFAA NAOW event occurs.
2. The approved membership changes should provide benefits to SASFAA, its members, and those wishing to secure membership but otherwise were prohibited from doing so.

3. The timeframe for the 2013-14 survey was in accordance with the objective, as SASFAA will be updating the Long Range Plan during the 2015-16 year.
4. It is unclear whether the activities increased overall membership involvement in SASFAA activities and there was nothing in the overall GAP Spreadsheet to provide a clear answer to this.
5. An assessment cannot be done because there were no activities reported that supported persistence so nothing could be monitored and analyzed. The Membership Chair recommends that this position and the Treasurer work closely to reconcile monthly so that data is available and problems or errors can be corrected.
6. The 2013-14 survey data should be provided to the next Membership Chair. If the Long Range Planning Chair had the result of the survey this year as stated in 6.3, then it is puzzling why the Membership Chair also did not have access to them.
7. Mentors were assigned to those who requested one. No information was provided on the success of this project.
8. The By-Law changes were positive, but unable to assess any other activities as none were noted.

#### 2013-14 GAP Recommendations Review:

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: Membership category changes were approved at the February 2015 Annual Business Meeting.*
2. (13-14) The Membership Chair must provide the Long Range Planning Committee the results of the Membership survey.  
*Evaluation: The Long Range Planning Chair had the results of the 2013-14 membership survey.*
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: This was not done. According to the Membership Chair, the mentorship program is difficult to establish. Because of a job change she was not able to focus on it and asked another SASFAA member to provide assistance with this. Due to the timing of when this occurred a reception was not held. This should be carried forward if SASFAA wishes to continue with a mentorship program.*
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: This did not occur. Per the Membership Chair, "having a good marketing/publication piece would help in this endeavor." This should be carried forward, along with the plan to develop the marketing/publication piece.*

#### 2014-15 GAP Recommendations:

1. (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:*
2. (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:*

3. (14-15) It would be beneficial for SASFAA to create some metrics to assist in evaluating the involvement of SASFAA members in association activities (Objective 6.4).

*Evaluation:*

4. (14-15) The Membership Chair recommends that this position and the Treasurer work closely to reconcile monthly so data is available and problems or errors can be corrected in order to monitor the persistence rate of members and analyze the reasons for discontinuing membership (Objective 6.5)

*Evaluation:*

5. (14-15) The GAP Committee recommends that any surveys and/or forms referenced by Board members and/or committee chairs in their report be included in the information disseminated to the GAP Committee.

*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. The minutes for the board meetings have been reviewed to ensure that approved changes to the policies and procedures have been incorporated.
2. There is no evidence that every officer and committee chair reviewed his/her section of the policies and procedures, but many reported they did. The Electronic Services Committee Chair has reviewed applicable policies and procedures. An update to the P&P was recommended by the Electronic Services Committee and approved at the July 2014 Board meeting. Section 6.10 of the Policy and Procedure manual addresses Long Range Planning. It was reviewed at the beginning of this year for any changes and recommendations for changes on this section will be submitted. It is during the three year period where there is not a committee assigned that someone should be reviewing Section 6.10 for any changes and procedure that we should be following as an association. The Membership Chair reported that Policies and Procedures will be reviewed in light of the February 2015 Bylaw changes with recommendations presented at the Transition Board meeting. The Vice President stated, "The Summer NAOW guide is rather outdated. The goal is to update this prior to the end of the year and submit to the 15-16 VP."

3. All policy and procedure approvals that have been approved by the SASFAA Board of Directors have been updated and submitted to the Electronics Chair for posting to the SASFAA website.
4. The Secretary reported all policy and procedure approvals have been updated and submitted to the Electronics Chair for posting the SASFAA website.

Assessment:

1. The activity was appropriate; however, the current version of the SASFAA Policy and Procedure Manual on the website is not up-to-date (version is October 2014).
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. Some of the members provided recommendations and future action items related to the policies and procedures. Those are outlined in the 2014-15 GAP Recommendation.
3. All SASFAA Policy and Procedure changes submitted to the Board were acted upon; however, the most recent Policy and Procedure Manual on the SASFAA does not include all of the changes made during the 2014-15 year. It's dated as last updated in October 2014 and the GAP Committee found instances of changes approved in the minutes that are not reflected on the website version.
4. The most recent Policy and Procedure Manual on the SASFAA website does not include all of the changes made during the 2014-15 year. It's dated as last updated in October 2014 and the GAP Committee found instances of changes approved in the minutes that are not reflected on the website version. 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.

2013-14 GAP Recommendations Review:

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: 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. However it was not noted by all the changes that were actually made during the year.*
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: It was reported by those responding to this recommendation in the GAP spreadsheet that this will be done at Transition. This will be carried forward, but changed to the first transition of the year, as it's more effective for committees to review their section of the P&P at the beginning of their service, rather than the conclusion.*

2014-15 GAP Recommendations

1. (14-15) The Long Range Planning Chair made the following recommendation and GAP suggests this be completed, “Policy and Procedure change to be submitted for June Board Meeting- 6.10 objective b. review annual year-end reports to assess committee and Board effectiveness in meeting goals and objectives and to ensure consistency with the mission of the Association. SASFAA does not have a LRP Committee every year so this needs to be struck from this section as it should be under the Past-President for GAP reporting.”  
*Evaluation:*
2. (14-15) The Membership Chair reported that Policies and Procedures will be reviewed in light of the February 2015 Bylaw changes with recommendations presented at the Transition Board meeting, and GAP suggests this be completed.  
*Evaluation:*
3. (14-15) The Vice President stated, “The Summer NAOW guide is rather outdated. The goal is to update this prior to the end of the year and submit to the 15-16 VP,” and GAP suggests this be completed.  
*Evaluation:*
4. (14-15) It is recommended to provide a list of all policy and procedure changes made throughout the year listed in the Goals and Objectives Spreadsheet.  
*Evaluation:*
5. (13-14) At the June transition meeting when the new Board prepares for their year of service beginning in July, 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 at the next Board Meeting if necessary.  
*Evaluation:*
6. (14-15) The GAP Committee recommends that the SASFAA Secretary review all of the 2014-15 minutes to ensure all Policy and Procedure changes approved by the Board are made, and then upload the current version to the SASFAA website as the October 2014 version posted there now is out-of-date.  
*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. The Secretary reported, “Archived records have been retrieved and safely secure.”
3. The Secretary reported, “All records kept by the Secretary are accessible.”

### Assessment:

1. No assessment can be done.
2. This activity is appropriate.

3. This activity is appropriate.

2013-14 GAP Recommendations Review:

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: The GAP Committee found that the current version of the SASFAA Policy and Procedure Manual on the website is dated October 2014 and does not include changes made during the 2014-15 year. Additionally, the next Long Range Plan won't be finalized until the 2015-16 year, so this recommendation will be carried forward.*

2014-15 GAP 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:*

2. (14-15) The GAP Committee recommends that the Long Range Planning Committee review Objective 8.1 and make a revision, as it's not necessary to "establish" procedures on an annual basis. The procedures are already established, but can be reviewed.

*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. This was accomplished by ensuring as many sectors as possible were represented on committees and also by reaching out to everyone in SASFAA to gather information for the LRP. Bylaw changes to membership classifications were approved in February 2015. Four classes-active, honorary, associate and retired-were approved. Most committee chairs reported that effort was made to ensure representation and participation from all sectors in SASFAA programs/activities.
2. Between the President, President-Elect, and Past President all of the states will have a SASFAA representative at their conference. The Past President served as SASFAA's regional voting member on the NASFAA Board. The President served as an observer of the NASFAA board this year, and being able to be a voice for SASFAA 2015-16.

#### Assessment:

1. The actions were appropriate.
2. The actions were appropriate.

#### 2013-14 GAP Recommendations Review:

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: The Long Range Planning Committee Chair has the results of the survey.*

#### 2014-15 GAP Recommendations:

No recommendations.

### Communications/Collaboration

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

#### **OBJECTIVES:**

- 10.1 Improve frequency and quality of communication with members.
- 10.2 Address a full range of issues, ranging from policies to daily operations.
- 10.3 Provide the SASFAA president's annual report to the membership in accordance with Section 1, Article 7 of the By-Laws.
- 10.4 Use technologies to improve communications with the membership.

- 10.5 Employ marketing/communications strategies to focus information to various segments of the membership and develop outreach materials to market SASFAA effectively to various constituencies.
- 10.6 Develop a volunteer process and communicate it clearly. Consider creating “SASFAA Kits” on committee structure, programs, service, etc.

Activities:

1. The Communications and Outreach Chair has done an excellent job at frequently communicating with SASFAA members.
2. The President communicated with the membership via the listserv and the blog. We were unable to determine specific issues addressed in his communication.
3. This will be done by the end of my year as President
4. The Membership Chair promoted Financial Aid Appreciation Day via Facebook and email.
5. There was no progress made on this activity in 2014-2015.
6. An email was sent to the membership, which included a link to the SASFAA volunteer form.

Assessment:

1. Section 8.1.1 of the SASFAA Policy and Procedure Manual outlines who is responsible for submitting information to SASFAA Nine News on a monthly basis. This responsibility is shared by all members of the Board, not just the Communications and Outreach Chair. Many postings did occur during the year, but not according to the prescribed schedule. The Communication and Outreach Chair is to be commended for managing and posting information to Facebook.
2. Section 8.1.1 of the SASFAA Policy and Procedure Manual outlines who is responsible for submitting information to SASFAA Nine News on a monthly basis. This responsibility is shared by all members of the Board, not just the Communications and Outreach Chair. Information is being communicated in many ways, but with the popularity of other social sites (e.g., Facebook, etc.), it would be beneficial for SASFAA to discuss the most effective ways to use all of these outlets.
3. Completion pending, so no assessment can be done.
4. Information is being communicated in many ways, but with the popularity of other social sites (e.g., Facebook, etc.), it would be beneficial for SASFAA to discuss the most effective ways to use all of these outlets.
5. Nothing to assess.
6. The SASFAA Kits project was eliminated and a volunteer form was disseminated to the membership.

2013-14 GAP Recommendations Review:

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: All changes resulting from the assessments made in 13-14 were implemented prior to or at the start of the 14-15 year. Those changes included the implementation of the functional site map on the website, the creation of new pages to improve the function, services, layout and theme of the website, and finalized relocation of all documents and information previously located on a non-functional site map page. Additional updates/edits were also made throughout 14-15 and enhancements will continue through the end of the 14-15 year.*
2. (13-14) Review the feasibility of making the listserv available for all SASFAA members to post.

*Evaluation: Procedures were developed to make the listserv available for all SASFAA members to post. A webpage outlines information and instruction for members pertaining to the use of the listserv. A dedicated email address for intake of listserv messages from all members is monitored by the Communications and Outreach Chair and supported by the Electronic Services Chair to ensure timely distribution of messages immediately following an administrative review.*

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: This will be reviewed during the completion of the next Long Range Plan.*

#### 2014-15 GAP Recommendations:

1. (14-15) Consider seeking volunteers skilled in marketing and/or publications to help develop pieces SASFAA can use on the website, on Facebook or to send to institutions.

*Evaluation:*

2. (14-15) Information is being communicated to SASFAA members in many ways, but with the popularity of other social sites (e.g., Facebook, etc.), it would be beneficial for SASFAA to discuss the most effective ways to use all of these outlets (e.g., SASFAA listserv, SASFAA Nine News, Facebook, etc.).

*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. The Legislative Relations Committee developed a response to the Repay Act that included the input of all state associations. SASFAA members made Hill visits as part of a NASFAA initiative called Pipeline. Some SASFAA members participated in Hill visits outside of the NASFAA Pipeline as part of a SASFAA Legislative Relations Committee activity. A draft briefing document was prepared for these SASFAA Congressional Hill Visits. Additionally, some SASFAA members participated in Congressional Hearings in 2014-15.
2. Pertinent information regarding legislative issues, proposals and actions were shared with the membership.

#### Assessment:

1. The Hill visits conducted with NASFAA were deemed successful. As of the date of the GAP Committee meeting it’s too early to evaluate the success of the separate SASFAA Hill visits as they occurred just before the meeting.
2. There were over 15 articles posted for 2014-15.

2013-14 GAP Recommendations Review:

1. (12-13) Continue to have joint legislative advocacy with other regions.  
*Evaluation: SASFAA conducted Hill visits, but it was not done jointly with EASFAA in 2014-15 due to logistical issues with coordinating the timing of the visits.*
2. (12-13) Identify one person from each state to be the “state” legislative contact person, ensuring that all states have representation.  
*Evaluation: This was done.*
3. (13-14) Distribute a monthly article to the SASFAA membership on matters of concern from the Legislative Relations Committee.  
*Evaluation: 15 articles were sent during the year. This may not have been monthly, but the number and content of the articles was appropriate.*

2014-15 GAP Recommendations:

1. (14-15) Distribute articles to the SASFAA membership on matters of concern from the Legislative Relations Committee on an as needed basis.  
*Evaluation:*
2. (14-15) Continue to conduct Hill visits, whether they are joint with other associations or an independent SASFAA activity.  
*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. The Vice President reported multiple training opportunities were offered during the 2014-15 year for all skill levels. Opportunities included were the Leadership Symposium (November 2014), New Aid and Mid-Level Pre-Conference Workshops (February 2015) and the New Aid Officers Workshop to be held in June 2015.
2. Completed.
3. The annual conference was held and kept within budget. The conference itself is basically self-supporting; however clarification is needed to define what is meant by self-supporting.

Does this include conference fees and vendor sponsorship support or a portion of sponsorship support?

4. Completed.
5. All 9 states were allowed to send two sponsored representatives to the Leadership Symposium. The states paid for travel cost (to and from the event) and SASFAA paid expenses (materials, lodging and meals) during the event.
6. We continue to encourage participation with other higher education associations.
7. Job postings are disseminated in a timely manner for all those sent to SASFAA.
8. There were no activities directly tied to this objective.
9. There were two pre-conference events: The NAOW led by Sandy Neel and the Mid-Level workshop led by Philip Hawkins.
10. The Summer NAOW is scheduled for June 14-19 at Thomas More College in KY
11. Leadership Symposium: Lianne Masterson, Ron Day and Billie Jo Hamilton-Mid-Level Preconference: Philip Hawkins, Brent Tener, Heather Boutell and Bill Spiers
12. Both the Leadership Symposium and Summer NAOW were located in states that had not hosted training in numerous years and in cities near a major airport.
13. A Leadership Symposium was held in November 2014 and plans are in place to hold a Management Institute in October 2015.

Assessment:

1. The Vice President should be commended on the training opportunities offered. The objective refers to determining training needs, and there is no reference to how those needs were determined in the reports.
2. Continue as stated in the objective.
3. While the conference expenses were in budget, the conference registrations were lower than estimated. However, the committee was working within the framework of the approved expenditure line and is to be commended for keeping expenses within budget. The GAP Committee agrees with the Conference Chair's recommendation to provide clarification on what is meant by self-supporting, as the approved budget did not provide enough income from conference registrations to cover conference expenses.
4. This was done as recommended.
5. This was completed in the context of the SASFAA states, but not outside of the region of the region and/or with NASFAA.
6. Unable to assess the effectiveness of this as there were no details in the reports explaining what was done to foster these relationships.
7. Making job postings available to members was a positive, but there were no details in the reports explaining what was done to "Recognize, encourage, and support the development of informal networking strategies for sharing information."
8. There is no activity to assess.
9. These activities were in-line with the objective and those involved should be commended for doing the workshops.
10. This is scheduled and can be assessed after the workshop. If the number of participants remains below 100 and/or continues to decline, then it would be advisable to re-evaluate the frequency and scope of the workshop.
11. These are quality experienced people and SASFAA is grateful for their involvement.
12. This was completed in accordance with the objective.
13. It is good to see the Leadership Symposium and Management Institute returning.

### 2013-14 GAP Recommendation Review:

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: Survey Monkey was used and gathered pertinent details from the 2015 Annual Conference attendees. The GAP Committee is not aware of a survey being conducted by the Professional Advancement Committee.*
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: There were no details in the reports explaining what was done to foster these relationships.*
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: The Leadership Symposium was held November 20-22, 2014 in Birmingham, AL and was headed-up by Lianne Masterson. The other instructors were Ron Day, Billie Jo Hamilton and Marian Dill. This event came in \$10,000 under budget. A summary was provided in both the November and February Board reports.*
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: The GAP Committee recommends reviewing Objective 12.8, as the research/publication piece is not realistic based on the configuration of our membership.*
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: This will occur during the NAOW and will be provided to the 15-16 Vice President - Michael Morgan.*
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: This will be reviewed and updated prior to June 30.*
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: This will be reviewed and updated prior to June 30.*
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: Minutes were reviewed and submitted to the Executive Board prior to the 2015 Annual conference, but the SASFAA Policy and Procedure Manual has not been updated. Now that the annual conference is being held at more SASFAA states, it would be beneficial to revisit the charity rotation schedule.*

2014-15 GAP Recommendation:

1. (14-15) Provide clarification on what is meant by an annual conference being self-supporting. Does this include conference registration fees and expenses charged to the conference line item of the budget only? Or, does it include a portion of sponsor support? Or, are there some other items included.

*Evaluation:*

2. (14-15) The GAP Committee recommends reviewing Objective 12.8, as the research/publication piece is not realistic based on the configuration of our membership.

*Evaluation:*

3. (14-15) Now that the annual conference is being held at more SASFAA states than when the charity rotation schedule was created, it would be beneficial for Board to revisit the schedule and determine if it is time to make changes. Whatever is decided should be included in the SASFAA Policy and Procedure Manual and Conference Handbook.

*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. The Budget and Finance Committee followed the practices of the SASFAA Guide to Financial Management.
2. This was completed.
3. This was completed.

#### Assessment:

1. The practices of the SASFAA Guide to Financial Management as updated on November 3, 2014 were followed.
2. A zero-based budget was submitted for approval by deadlines provided in the Guide to Financial Management.
3. While the guidelines were reviewed during several Board meeting minutes, at least one update was not included on the web version of the Guide to Financial Management. Board minutes from July 2014 showed an update to section 7.6.f. which was not reflected in the November 2014 Guide update.

#### 2013-14 GAP Recommendation Review:

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: Individuals involved in this review found different answers on what is available. GAP Committee confirmed Wild Apricot does have an export to QuickBooks, so it is recommended that this process be reviewed again, including researching whether any SASFAA states or other regions are able to make this sync work.*
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: This was done.*
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: The budget was increased.*

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: This was done.*
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: There is no evidence that this has been completed and is being carried forward.*
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: There is no evidence that this has been completed and is being carried forward.*
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: This was completed, but the Budget and Finance Chair plans to review this to determine if the language needs to be updated to be more specific.*
8. (13-14) An updated budget should be provided to the GAP Committee in time for the annual GAP meeting and review.  
*Evaluation: This was accomplished.*

2014-15 GAP Recommendation:

1. (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:*
2. (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:*
3. (14-15) An updated budget should be provided to the GAP Committee 30 calendar days before the annual GAP meeting.  
*Evaluation:*
4. (14-15) Outline the duties of the Treasurer and pending Treasurer-Elect positions, as the first Treasurer-Elect will be elected in February 2016, to take office in July 2016. The SASFAA Policy and Procedure Manual and Guide to Financial Management should be updated prior to the Treasurer-Elect taking office.  
*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. This was completed.
2. This was completed.
3. This was completed. SASFAA moved funds from mutual funds to advisory solutions. SASFAA has realized much higher gains in our investments due to this change.
4. This was completed.
5. This was completed.
6. The Chair along with the recommendations of the board added several items to try and entice the Sponsors to increase to the highest level of sponsorship. Unfortunately this goal was not achieved.

Assessment:

1. It appears that the President, Immediate Past President, Vice President and Budget and Finance Chair attended a pre-board meeting to discuss the 2014-15 budget. It is the assumption of this committee that those items were discussed and presented to the full board for approval.
2. A review of the May 12, 2015 Budget vs. Actuals and the Balance Sheet shows funds sufficient to cover one year operating expenses. Board minutes from July 2014 show current, as of date of June 2014, to cover outstanding liabilities as well.

$$\begin{aligned} \text{Budget} + \text{Liabilities} &= \$415,850 + \$141,847 = \$557,697 \\ \text{Total Current Assets} &= \$700,221.87 \text{ (May 2015)} \end{aligned}$$

3. New investment strategies implemented to move from mutual funds to advisory solutions have shown positive increases in long-term financial solutions.
4. The Budget and Finance Chair provided a detailed liability assessment with her Board reports.
5. There is no record of this activity in Board meeting minutes but historical budgets were provided that identify an amount transferred from assets for \$48,645. The GAP Committee has some concerns over the plan of transferring \$48,645 from assets to the operating budget,

and encourages future boards to try and create a zero-based budget without relying on assets. Continued reliance on a transfer of assets this large is not sustainable. This should be carefully monitored on an annual basis.

6. The Chair recommends reviewing sponsorship levels at each transitional meeting to see how other efforts may be achieved. The GAP Committee would like to acknowledge vendors and sponsors for their continued support of the association.

#### 2013-14 GAP Recommendations Review:

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: SASFAA is on a cash-basis accounting system. The GAP Committee believes it's not possible to put the future liabilities into QuickBooks so they are offset by the reserves. This information should be disseminated to the membership in a different format as it cannot be included as part of the budget.*
2. (13-14) Further discussion should take place in regards to other opportunities SASFAA can offer to enhance participation of sponsors.  
*Evaluation: The Sponsor Chair recommends reviewing sponsorship levels at each transitional meeting to see how other efforts may be achieved.*
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: The top package was changed to offer more incentives to sponsors selecting this option than just the 2 additional conference comps mentioned in the recommendation.*

#### 2014-15 GAP Recommendations:

1. (14-15) Review Objective 14.5 (“Determine the appropriate cash balance to be brought forward annually”) in the Long Range Plan and modify the language. SASFAA is required to have a balanced (zero-based budget) at the beginning the year and operate this way during the year, so there generally isn't a plan to carry forward a cash balance on an annual basis.  
*Evaluation:*
2. (14-15) Review sponsorship levels at the June 2015 Transition meeting.  
*Evaluation:*