

## Program Overview

Program:	Financial Aid
Academic Year:	2014/2015
Review Period:	Annual

## A. Description and Goals

1. Describe the program and/or service area under review and how the program supports the mission of Santa Monica College.

### **Program Description:**

The Financial Aid operation oversees 18 different aid programs—with funding provided by federal, state, institutional, and private sources. Those funded by the Federal Government include the Pell Grant, SEOG Grant, Federal Work Study, Direct Subsidized Stafford Loan, Direct UnSubsidized Stafford Loan, and Direct Parent Loan programs. Those funded by the State of California include the Cal Grant B, Cal Grant C, BOG A Enrollment Fee Waiver, BOG B Enrollment Fee Waiver, BOG C Enrollment Fee Waiver, Chaffee Grant, and CalWORKS Work Study programs. Those funded by Santa Monica College include the SMC Emergency Loan, SMC Book Loan, and SMC Foundation Scholarship programs. Financial Aid also administers outside scholarships and a limited number of private loans.

While Financial Aid and Scholarships will provide over \$50,000,000 of assistance in 2014-15 (for the second consecutive year,) the primary focus of the operation goes beyond the awarding and disbursing of aid. The true goal of the operation is helping students succeed in their academic endeavors. Furthermore, Financial Aid supports the mission of Santa Monica College by assisting students with their educational expenses—which includes fees, books, supplies, transportation, food, and housing.

2. Identify the overarching goal(s) or charge/responsibilities of the program or service area. If appropriate, include ensuring/monitoring compliance with state, federal or other mandates.

### **Goals and Responsibilities**

A) Provide federal, state, and institutional financial assistance that helps students pay for their education expenses. In addition, to help the students achieve their educational objective.

B) Maintain compliance with federal and state processing requirements and adherence to Federal and State law.

C) Manage the accounting requirements for both federal and state aid programs and regularly reconcile the Pell, Cal Grant, and Direct Loan Programs. Federal financial aid and Cal Grant programs need to be reconciled on both a monthly and annual basis.

D) Complete the annual Federal FISAP Report—which addresses the use of Federal funds in the previous academic year.

E) Work with Information Management to complete the college's annual submission of Federal and State MIS information to the State of California.

F) Complete the annual BFAP report to the Chancellor's Office. The BFAP report addresses the use of State funding for staff, technology, training, and outreach materials.

G) Manage the substantial transfer of data between the U.S. Department of Education and Santa Monica College. This includes the downloading of FAFSA applications and corrections, the reporting of Pell originations and disbursements, and the submission of Federal Direct Loan certification and other processing files.

H) Manage the assessment of Federal Return of Title IV calculation and Federal Aid Overpayments, the notification to students of overpayment status, the return to Federal Aid Programs of overpayments, and the reporting of overpayment data to the U.S. Department of Education.

3. If your program receives operating funding from any source other than District funds identify the funding source. If applicable, note the start and end dates of the funding (generally a grant), the percentage of the program budget supported by non-District funding, and list any staff positions funded wholly or in part by non-District funds. Do not include awards for non-operational items such as equipment (ex. VTEA) or value added activities (ex Margin of Excellence).

### **Outside Funding**

The Financial Aid Office receives annual funding from the State of California for various financial aid related expenses. The funding, which come from the Board Financial Aid Program (BFAP), is allocated to California Community Colleges for only four purposes: 1) financial aid office staffing 2) technology expenses that help in the processing and awarding of federal and state financial aid, 3) training for financial aid staff, 4) outreach materials.

BFAP funding began when the Board of Governors Enrollment Fee Wavier Program was created in 1984-85. The funding for California Community Colleges, though, was substantially increased ten years ago—as the BFAP allocation went from \$134,000 in 2003-04 to \$776,770 in 2004-05. In recent years, Santa Monica College has received over \$800,000 annually—which is used, primarily, for Financial Aid staffing and technology expenses. The actual amount of BFAP funding is tied to both FTE and the number of BOG Enrollment Fee Waivers awarded to students in the prior year.

The BFAP funding pays for 40+% of the Financial Aid Office's annual staffing expenses. BFAP funds pay for the salaries and benefits of four full time Student Services Clerks, two full time Student Services Specialists, two Systems Specialists, two to three temporary Students Services

Clerks, and the contracts of two part time academic counselors. In addition, BFAP funding also pays the maintenance charges for our Banner Financial Aid Software, Academic Works Scholarship software, and some system and office hardware costs.

**B. Populations Served**

**Financial Aid**

1. Describe the students your program serves in terms of ethnicity, race, gender, age, residency status, citizenship, educational goal, enrollment status, and full/part-time status. Note any changes in student or enrollment data since the last program review.

Financial Aid reviewed the ethnicity, gender, and age demographics for the Pell Grant and BOG Fee Waiver Programs from the past six years. The following data was taken from the CCCCO Data Mart.

Note: some Data Mart program recipient information is slightly different from that in ISIS.

**Ethnicity & Gender Student Demographics: Pell Grant Program**

The Pell Grant Program continues to see growth among Hispanic students—with more than 50% of the 2012-13 Pell recipients identifying themselves as Hispanic. This is an increase from the 37.8% that self-identified as Hispanic in 2007-08. Women still comprise the majority of Pell recipients, but the percentage of female Pell recipients dropped from 58% in 2007-08 to 54% in 2012-13. Also of note is the creation of the multi-ethnicity category in 2008-09. Only two students indicated that they were multi-ethnic that year. In 2012-13, 300 students identified themselves as multi-ethnic

<b>Ethnicity</b>	<b>Pell Grant Recipients – Female Students</b>						
	<b>07/08</b>	<b>08/09</b>	<b>09/10</b>	<b>10/11</b>	<b>11/12</b>	<b>12/13</b>	<b>13/14</b>
African-American	476	626	714	723	745	631	621
American Indian	11	13	14	6	13	9	16
Asian	195	228	303	378	390	353	354
Filipino	30	37	30	51	55	59	80
Hispanic	963	1181	1654	2072	2432	2540	2557
Multi-Ethnicity			52	107	167	178	163
Pacific Islander	9	11	21	19	12	15	8
White Non-Hispanic	519	549	700	811	850	821	840
Unknown	210	233	189	132	94	65	52
<b>Total</b>	<b>2413</b>	<b>2878</b>	<b>3677</b>	<b>4299</b>	<b>4758</b>	<b>4671</b>	<b>4691</b>

<b>Ethnicity</b>	<b>Pell Grant Recipients – Male Students</b>						
	<b>07/08</b>	<b>08/09</b>	<b>09/10</b>	<b>10/11</b>	<b>11/12</b>	<b>12/13</b>	<b>13/14</b>
African-American	320	431	519	569	662	570	<b>610</b>
American Indian	10	10	14	14	6	3	<b>3</b>
Asian	198	177	250	319	371	345	<b>365</b>
Filipino	19	27	24	38	49	46	<b>51</b>
Hispanic	615	824	1168	1550	1871	2012	<b>2210</b>
Multi-Ethnicity		2	47	99	118	122	<b>139</b>
Pacific Islander	16	17	13	12	13	11	<b>9</b>
White Non-Hispanic	406	456	581	685	787	764	<b>764</b>
Unknown	159	213	166	106	73	48	<b>35</b>
<b>Total</b>	<b>1753</b>	<b>2157</b>	<b>2782</b>	<b>3392</b>	<b>3950</b>	<b>3921</b>	<b>4186</b>

Ethnicity	Pell Grant Recipients – All Students						
	07/08	08/09	09/10	10/11	11/12	12/13	13/14
African-American	796	1057	1233	1292	1407	1201	<b>1231</b>
American Indian	21	23	28	20	19	12	<b>19</b>
Asian	393	405	553	697	761	698	<b>719</b>
Filipino	59	64	54	89	104	105	<b>131</b>
Hispanic	1578	2005	2822	3622	4303	4552	<b>4767</b>
Multi-Ethnicity		2	99	206	285	300	<b>302</b>
Pacific Islander	25	28	34	31	25	26	<b>17</b>
White Non-Hispanic	925	1005	1281	1496	1637	1585	<b>1604</b>
Unknown	369	445	355	238	167	113	<b>87</b>
<b>Total</b>	<b>4166</b>	<b>5035</b>	<b>6459</b>	<b>7691</b>	<b>8708</b>	<b>8592</b>	<b>8877</b>

## C. Program Evaluation

### Financial Aid

1. List your student or instructional support service SLOs or UOs.

*SLOs are specific, measurable statements of what a student should know, be able to do, or value when they complete a program/course or sequence of activities. An SLO focuses on specific knowledge, attitudes, or behaviors that students will demonstrate or possess as a result of instruction or program activity.*

*UO statements focus on service or operational outcomes such as:*

- *Volume of unit activity*
- *Efficiency (responsiveness, timeliness, number of requests processed, etc.)*
- *Effectiveness of service in accomplishing intended outcomes (accuracy, completeness, etc.)*
- *Compliance with external standards/regulations*
- *Client/customer satisfaction with services*

### Student Support Unit Outcomes

A. Students will be awarded their financial aid package earlier.

Criteria for success: The number of aid packages disbursed by the first day of the semester will be higher than in previous years.

B. Students will have their financial aid applications processed faster. Criteria for success: The volume of disbursements will be higher than in previous years.

*1. Describe when and how the program assesses these UOs and uses the results to inform program planning including:*

- *how outcomes are assessed and how often*
- *the assessment tool(s) used*
- *the sample (who gets assessed)*
- *how and when the program reviews the results and who is engaged in the process*

### **UO Assessment**

Financial Aid assesses the processing, awarding, and disbursing of aid at various points in the eighteen months “financial aid processing year.” The processing year for 2014-15 began on January 1, 2014, extends through Fall 2014, Winter 2015, Spring 2015, Summer 2015, and will end on October 1, 2015—with the submission of the 2014-15 Federal Financial Aid FISAP Report.

For our assessment of the Financial Aid Office’s Administrative Unit Outcomes, we wanted to determine if our internal changes and efforts were resulting in our intended outcomes. Our first UO addresses the institutional desire to have as many Federal financial applicants awarded (and disbursed) by the beginning of the Fall and Spring terms—as possible. We have known that academic success for high-need students is tied to their ability—early in the term—to purchase books/supplies, pay for transportation expenses, and have money for food.

By looking at the amount of grant checks (and the dollar amounts) disbursed by Week 1 of the Fall and Spring terms (over the past nine years), the data definitely demonstrates that the intended outcome for our first UO was accomplished.

Our second UO was to package federal aid at a faster pace. The Fall check disbursement data (below) was also used to assess that outcome. Both first week and mid-term disbursement figures indicate that awards have been generated at a faster pace—each ensuing year. This outcome was also achieved.

### ***Fall Check Disbursement Comparisons: Fall Semesters 2006 to 2014***

	<b><i>1<sup>st</sup> Week of Fall</i></b>	<b><i>Fall Mid-Term “Full Payment”</i></b>
	<b><i>Check Disbursement Data</i></b>	<b><i>Disbursement Data</i></b>
<b>Fall 2014</b>	6799 grant checks** / \$4,907,595	6426 grant checks** / \$6,220,479

<b>Fall 2013</b>	6009 grant checks / \$4,157,145	9384 grant checks / \$6,040,431
<b>Fall 2012</b>	5348 grant checks / \$3,637,358	9098 grant checks / \$6,111,033
<b>Fall 2011</b>	5043 grant checks / \$3,444,246	7971 grant checks / \$5,803,662
<b>Fall 2010</b>	4050 grant checks / \$2,616,447	7009 grant checks / \$4,944,943
<b>Fall 2009</b>	3866 grant checks / \$2,479,186	5642 grant checks / \$3,786,827
<b>Fall 2008</b>	3286 grant checks / \$1,907,256	4986 grant checks / \$2,753,514
<b>Fall 2007</b>	3032 grant checks / \$1,504,480	4741 grant checks / \$2,670,580
<b>Fall 2006</b>	2286 grant checks / \$1,148,255	3503 grant checks / \$2,008,303

\*\* Less first and mid-term grant checks because of move to single Cal Grant disbursement between first and second disbursements. No Cal Grant check disbursed this week. (Pell and SEOG only.)

***Spring Check Disbursement Comparisons: Spring Semesters 2007 to 2015***

***1<sup>st</sup> Week of Spring***

***Spring Mid-Term "Full Payment"  
Disbursement Data***

***Check Disbursement Data***

<b>Spring 2015</b>	8517 grant checks** / \$6,673,872	8708 grant checks ** / \$6,818,749
<b>Spring 2014</b>	9235 grant checks / \$6,432,852	9599 grant checks / \$6,524,226
<b>Spring 2013</b>	9165 grant checks / \$6,299,524	9248 grant checks / \$6,281,468
<b>Spring 2012</b>	8414 grant checks / \$6,363,120	7857 grant checks / \$5,806,793
<b>Spring 2011</b>	6762 grant checks / \$5,236,438	7934 grant checks / \$5,495,371
<b>Spring 2010</b>	6266 grant checks / \$4,344,128	6295 grant checks / \$4,252,982
<b>Spring 2009</b>	5271 grant checks / \$2,976,455	5188 grant checks / \$2,927,093
<b>Spring 2008</b>	4731 grant checks / \$2,427,367	4352 grant checks / \$2,287,607
<b>Spring 2007</b>	4400 grant checks / \$2,199,815	3940 grant checks / \$1,985,799

\*\* Less first and mid-term grant checks because of move to single Cal Grant disbursement between first and second disbursements. No Cal Grant check disbursed this week

2. Describe when and how the program assesses these SLOs and UOs and uses the results to inform program planning including:

- how outcomes are assessed and how often
- the assessment tool(s) used
- the sample (who gets assessed)
- how and when the program reviews the results and who is engaged in the process

## D1. Objectives

Objectives: A) Continue the development of the Banner Financial Aid Software Module and the development of the implemented Ellucian/Banner UC4 processing software. B) Maintain the general amount of assistance to SMC students with the Pell Grants and BOG Waivers Programs C) Keep Stafford Loan Cohort Default Rates low D)Continue development of Scholarship Processing Software system E) Improve Return of Title IV Withdrawal reports and create process that can automate Return of Title IV calculations F) Continue work on Policy and Procedure Manual

Status: In Progress

Comments:

Comments:

A) The Banner Financial Aid module continues to be developed--especially since the creation of two new Financial Aid Systems Specialist positions.

B) The number of Pell and BOG Fee Waiver recipients continued to grown in 2013-14--as did the total dollars paid (Pell) and fees waived (BOG.)

C) SMC Default rate continue to be among the lowest for community colleges in Southern California. The most recent 3-year default rate was 10.4%.

D) SMC implemented the Academic Works Scholarship Software system for 2014-15.

E) SMC Financial Aid created a system that imports Cal Grant awards from the Cal Grant system into Banner Financial Aid. These awards are batch packaged or packaged individually. In addition, after the single Cal Grant payment is disbursed, a payment file is generated that is imported into the Cal Grant web system.

F) Very little time was spent on the Policy and Procedure Handbook. A more concerted effort will be made in 2014-15.

## D1. Looking Back

1. Describe any accomplishments, achievements, activities, initiatives undertaken, and any other positives the program wishes to note and document.

The SMC Financial Aid & Scholarship Operation had it's most productive year ever. Student awards for Pell, Board of Governors Enrollment Fee Waivers, and Cal Grants were at an all-time

high. The Financial Aid Office also, once again, set records for the number of aid recipients and total financial aid dollars. In addition, two major system and processing goals were completed this year, including the implementation of the Academic Works Scholarship Software System and the development of the Cal Grant awarding and reporting process.

### **A. Academic Works Scholarship Software System Implementation**

In June of 2014, a team of Financial Aid, Scholarship, Information Management, and SMC Foundation staff began the development of the Academic Works Scholarship System. This system has many features include an on-line application (instead of paper), the electronic submission of recommendation letters, an internal scoring system, and a sophisticated communication system—with both reviewers and students. The system allows the end users to set up individual scholarship parameters and match qualified students to the scholarships.

The set-up and testing of the system—including the data file import from ISIS—took many months to complete. The system went live on February 3. Students were given a month to complete their e-applications and obtain recommendation. A record number of students applied—over 1300. However, not all students submitted personal statements or had recommendations.

Committees started receiving their scholarship pools in mid-April and selections for almost all of the scholarships winners have already been done—as of the time of this report.

The scholarship software system development team will reconvene after the SMC Foundation Scholarship Ceremony—which will be on June 13. At that time, the team plans to do an evaluation of the first year with the system and identify the modifications and improvements that will be made in the second year to make the review process easier.

### **B. Cal Grant Packaging and Reporting Automation**

Historically, the awarding and reporting of Cal Grant disbursements was done on a manual basis. The Cal Grant and Student Employment Student Services Specialist would review the students with an award in the Cal Grant website and then award the Cal Grant in Banner (if the student had already been awarded Federal Aid) and/or leave a comment in the Banner comment screen. Then, when disbursements were made in Banner, the Specialist would enter the disbursements individually in the Cal Grant website.

Obviously, this required a considerable amount of manual effort. This past summer, our Cal Grant Student Services Specialist and one of our new Systems Specialist began the Cal Grant Automation Project. We had two major goals for the project. The first was to create a process that could first upload the Cal Grant roster into our Banner Financial Aid system and then include Cal Grant awards in the batch and individual awarding processes. The second goal was to create a process that could export a payment file from Banner and import it into the Cal Grant Web-Grant system.

Both systems were created and tested in the TEST instance of Banner. Then the system was run—live—and it has performed as expected. Both processes save a considerable number of staffing hours over the course of a year.

### **C. Increases in Applications, Regulatory Changes, Total Financial Aid**

The SMC Financial Aid Office continues to process an extremely high number of federal aid applications. Driven by the nation’s economic downturn, the number of federal aid applicants has almost tripled over the past six years—going from 16,171 students in 2007-08 to 44,945 (to date) for 2014-15.

#### ***Federal Financial Aid Applicants: 2006-07 through 2014-15***

<b>Academic Year</b>	<b>Number of Federal Aid Applicants</b>
<b>2014-2015</b>	44,945 (as of 4/29/15)
<b>2013-2014</b>	44,784
<b>2012 - 2013</b>	45,720
<b>2011 - 2012</b>	39,206
<b>2010 - 2011</b>	32,215
<b>2009 - 2010</b>	26,042
<b>2008 - 2009</b>	20,392
<b>2007 - 2008</b>	16,171
<b>2006 - 2007</b>	15,546

Financial Aid has also responded to substantial number of regulatory changes in the past two years—including those in verification, satisfactory academic progress rules, “ability to benefit” rules, “unusual enrollment” rules, new 150% rules for both Pell Grants and Stafford Loans, Gainful Employment reporting, and the documentation of high school graduation.

With the backdrop of these unprecedented changes in the Financial Aid landscape, the SMC FA Office, (over the past six years) has generated a significant amount of assistance to SMC students. While the Financial Aid Office has long provided help to a substantial portion of the SMC student population, the number of aid recipients has also grown over the past six years. In the current 2014-15 school year, the Financial Aid Office has already provided aid to more students than ever before—with 22,013 students receiving some type of Federal and/or State aid. This represents over 51% of the credit population at SMC. Note that this is a considerable increase in the overall percentage of SMC students receiving assistance—which historically has been in the 20-25% range.

From a student aid perspective, the Financial Aid Office has provided more aid to more students than in any previous year. The following tables look at the number of Federal and State aid recipients since 2006-07. For the second consecutive year, more than half of all SMC credit student are receiving some type of assistance from SMC Financial Aid.

#### **D. Federal & State Financial Aid Recipients & Dollars: 2006-07 through 2014-15**

Academic Year	Total Aid Recipients	% of SMC Students Receiving Aid
2014-2015	22,013*	51.4%* (as of 4/29/15)
2013-2014	21,636	52.1%
2012-2013	20,891	49.6%
2011-2012	18,923	44.3%
2010-2011	17,557	37.8%
2009-2010	16,092	32.4%
2008-2009	14,051	27.7%
2007-2008	12,293	26%
2006-2007	11,255	24.5%

**Total Financial Aid Dollars: 2006-07 through 2014-15**

Academic Year	Total Aid
2014 / 2015	\$51,257,862 (as of 4/29/15)
2013 / 2014	\$51,046,139
2012 / 2013	\$48,720,576
2011 / 2012	\$45,462,380
2010 / 2011	\$39,484,636
2009 / 2010	\$33,533,842
2008 / 2009	\$24,403,380
2007 / 2008	\$20,085,514
2006 / 2007	\$18,423,845

**E. Pell Grants and Board of Governors (BOG) Enrollment Fee Waiver Programs**

SMC's two largest aid programs, the Pell Grant and the BOG Enrollment Fee Waiver, have grown dramatically since 2006-07. The Pell Grant Program has exceeded 9000 recipients annually and disbursements have exceeded \$29 million for the last two school years. In addition, the number of students receiving BOG fee waivers has almost doubled since 2006-07, with over 21,000 students receiving fee waivers in 2014-15. (See Pell and BOG data below.)

**Pell Grant Program: 2006-07 to 2014-15**

Academic Year	Number of Students Receiving Pell	Total Pell Disbursed
2014 / 2015	9295*	\$30,475,990* (as of 4/29/15)
2013 / 2014	8895	\$29,338,634
2012 / 2013	8680	\$28,714,923
2011 / 2012	8708	\$28,721,948
2010 / 2011	7691	\$26,105,070
2009/ 2010	6448	\$21,320,224
2008 / 2009	5052	\$14,575,948
2007 / 2008	4160	\$10,957,399
2006 / 2007	3733	\$9,255,219

**Board of Governors Enrollment Fee Waiver Program: 2006-07 to 2014-15**

<b>Academic Year</b>	<b>Number of Students With Fee Waiver</b>	<b>Total Enrollment Fees Waived</b>
<b>2014 / 2015</b>	21835*	\$16,471,150* (as of 4/29/15)
<b>2013 / 2014</b>	21538	\$16,259,427
<b>2012 / 2013</b>	20777	\$15,238,443
<b>2011 / 2012</b>	18732	\$10,834,375
<b>2010 / 2011</b>	17266	\$7,421,973
<b>2009 / 2010</b>	15790	\$6,460,966
<b>2008 / 2009</b>	13747	\$4,575,640
<b>2007 / 2008</b>	12017	\$4,036,700
<b>2006 / 2007</b>	11053	\$4,306,968

**Cal Grants, Student Employment, SEOG, Loans, and Scholarships**

While we have seen dramatic increases in the Pell and BOG Waiver programs, other financial aid programs have seen fluctuations and decreases in funding. Federal Work Study funding, other than in the year SMC received additional stimulus money (2009-10), has decreased. The SEOG Grant Program has also seen a reduction in funding after 2007-08. Cal Grant awards, which are determined by the California Student Aid Commission, have been increasing since 2009-10. AB540 students became Cal Grant eligible in 2013-14--and helped raise the award numbers in 2014-15. SMC Scholarships are based on Foundation funding levels. In addition, outside scholarships are determined by many factors, including the state of the economy. Student loans have actually decreased in the past two years--after the increase during the economic downturn from 2008 to 2012. Student Help spending, which comes from departmental funds, did see a spike this year, as wages went to \$10/hour.

***CAL Grant Program: 2006-07 through 2014-15***

<b>Academic Year</b>	<b>Number of Students Receiving CAL Grants</b>	<b>Amount Paid</b>
<b>2014 / 2015</b>	1611	\$2,052,702 * (as of 5/15/15)
<b>2013 / 2014</b>	1204	\$1,349,364

<b>2012 / 2013</b>	1093	\$1,237,175
<b>2011 / 2012</b>	1118	\$1,349,573
<b>2010 / 2011</b>	857	\$1,040,992
<b>2009/ 2010</b>	634	\$764,077
<b>2008 / 2009</b>	579	\$701,750
<b>2007 / 2008</b>	724	\$881,276
<b>2006 / 2007</b>	845	\$1,031,623

***Federal Work-Study (FWS) Program: 2006-07 through 2014-15***

<b>Academic Year</b>	<b>Number of Students Receiving FWS</b>	<b>Amount Paid</b>
<b>2014 / 2015</b>	409	\$580,075* (as of 5/15/15)
<b>2013 / 2014</b>	478	\$790,445
<b>2012 / 2013</b>	382	\$742,724
<b>2011 / 2012</b>	396	\$717,480
<b>2010 / 2011</b>	362	\$674,556
<b>2009/ 2010</b>	430	\$829,842
<b>2008 / 2009</b>	386	\$739,092
<b>2007 / 2008</b>	391	\$751,360
<b>2006 / 2007</b>	319	\$577,521

***Student Help (SH) Program: 2006-07 through 2014-15***

<b>Academic Year</b>	<b>Number of Students Receiving SH</b>	<b>Amount Paid</b>
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<b>2014 / 2015</b>	423	\$1,104,150* (as of 5/15/15)
<b>2013 / 2014</b>	408	\$906,328
<b>2012 / 2013</b>	588	\$916,496
<b>2011 / 2012</b>	575	\$844,164
<b>2010 / 2011</b>	588	\$906,392
<b>2009/ 2010</b>	576	\$833,472
<b>2008 / 2009</b>	575	\$879,916
<b>2007 / 2008</b>	586	\$875,984
<b>2006 / 2007</b>	589	\$818,289

***Federal Stafford Loan Programs: 2006-07 through 2014-15***

<b>Academic Year</b>	<b>Number of Students Receiving Stafford</b>	<b>Amount Paid</b>
<b>2014 / 2015</b>	443	\$2,071,016 *as of (5/15/15)
<b>2013 / 2014</b>	424	\$1,822,362
<b>2012 / 2013</b>	503	\$2,056,269
<b>2011 / 2012</b>	563	\$2,219,427
<b>2010 / 2011</b>	580	\$2,311,459
<b>2009/ 2010</b>	538	\$2,249,517
<b>2008 / 2009</b>	522	\$1,719,801
<b>2007 / 2008</b>	394	\$1,264,463
<b>2006 / 2007</b>	335	\$844,452

***Federal Supplemental Educational Grant (SEOG) Program: 2006-07 to 2014-15***

<b>Academic Year</b>	<b>Number of Students Receiving SEOG</b>	<b>Amount Paid</b>
<b>2014 / 2015</b>	3604	\$500,647* (as of 5/15/15)
<b>2013 / 2014</b>	4683	\$634,178
<b>2012 / 2013</b>	5272	\$766,373
<b>2011 / 2012</b>	3038	\$821,114
<b>2010 / 2011</b>	3455	\$931,925
<b>2009 / 2010</b>	3429	\$869,100
<b>2008 / 2009</b>	3052	\$869,234
<b>2007 / 2008</b>	2799	\$1,007,609
<b>2006 / 2007</b>	2696	\$1,042,574

***Scholarship Program— SMC Foundation Funded: 2007-08 through 2014-15***

<b>Academic Year</b>	<b>Number of Students Receiving Foundation Scholarships</b>	<b>Amount Paid</b>
<b>2014 / 2015</b>	495	\$399,200
<b>2013 / 2014</b>	426	\$420,450
<b>2012 / 2013</b>	426	\$381,910
<b>2011 / 2012</b>	378	\$367,795
<b>2010 / 2011</b>	397	\$363,300
<b>2009 / 2010</b>	408	\$313,650
<b>2008 / 2009</b>	360	\$312,726
<b>2007 / 2008</b>	263	\$292,000

**Scholarship Program—From Outside Entity: 2007-08 through 2014-15**

<b>Academic Year</b>	<b>Number of Students Receiving Outside Scholarships</b>	<b>Amount Paid</b>
<b>2014 / 2015</b>	151	\$203,524
<b>2013 / 2014</b>	128	\$218,578
<b>2012 / 2013</b>	137	\$189,049
<b>2011 / 2012</b>	144	\$225,976
<b>2010 / 2011</b>	128	\$213,185
<b>2009/ 2010</b>	152	\$226, 539
<b>2008 / 2009</b>	119	\$219,380
<b>2007 / 2008</b>	154	\$321,268

2. Describe any changes or activities your program or service area has made that are not addressed in the objectives, identify the factors (e.g., licensure requirements, state or federal requirements, CCCO mandates, regulations, etc.) that triggered the changes, and indicate the expected or anticipated outcomes.

None, not elsewhere noted.

3. If your program received one time funding of any kind indicate the source, how the funds were spent and the impact on the program (benefits or challenges).

Not Applicable

**D2: Moving Forward**

Discuss and summarize conclusions drawn from data, assessments (SLO, UO) or other evaluation measures identified in Section C and indicate responses or programmatic changes planned for the coming year(s) including:

- how the assessment results are informing program goals and objectives, program planning, and decision-making
- specific changes planned or made to the program based on the assessment results

Conclusions from the UO analysis are already noted in Section C.

Goals and objectives for the program are more driven by Federal and State regulations and the technological aspect of Financial Aid and Scholarships. Goals and objectives are also driven by the extremely high number of aid recipients.

## D2: Objectives

*No Objective have been entered.*

## E. Curriculum Review

1. Discuss how the department reviews, revises, and creates new curriculum. Include the following information:

- The process by which department members participate in the review and revision of curriculum.
- How program goals and SLOS are integrated into course design and curriculum planning.
- The relationship of program courses to other college programs (cross-listing, overlapping content)
- The rationale for any changes to pre-requisites, co-requisites and advisories.
- How the department ensures course syllabi are aligned with the course outline of record.

2. Discuss the role of the advisory board and other industry bodies or input in updating curriculum to meet industry standards and the needs of students.

## F. Community Engagement

1. If applicable, describe how your department staff members engage in institutional efforts such as committees and presentations, and departmental activities.

### **COMMUNITY ENGAGEMENT: Committees, Workshops, Presentations & In-reach**

SMC Committees These Financial Aid staff were members of the following SMC Committees in 2014-15:

Steve Myrow—DPAC HR Committee

Stacy Neal—EOPS Advisory Committee

Tamora Thomas—Honor Council

Nilofar Ghasami—DPAC Budget Committee

Student Services Scheduled Workshops The following participated in scheduled workshops on-campus in 2014-15:

Kim Clark—Financial Aid

Marcia Fierro—Scholarships

College Wide Events The following staff participated in college wide events during the 2014-15 school year.

Stacy Neal—all of the following:

VIP Welcome Day

Adelante/Black Collegians Workshop

Summer Bridge (JAMS)

High School Counselor Seminar

EOPS Mandatory Meetings

4C Counseling Intern Training

Veterans/VRC Training

Counseling 20 Presentations

Kim Clark

Taryn De La Rosa

Jennifer Reza

Stacy Neal

Nursing FA Workshops

Carolyn Dammer

FAFSA, Cal Dream, or Scholarship Application Workshops

Belen Vacarro

Cristobal Bohorquez

Stacy Neal

Jennifer Reza

Marcia Fierro

Torrance Williams

### Financial Aid & Scholarship Partnership with other SMC Units

The Financial Aid operation works closely with all student services/student support units. Financial Aid and Admissions address many student related issues—especially with non-residents. Financial Aid and Outreach also collaborate with the funding of non-residents and some residents. Financial Aid communicates regularly with Auxiliary Services/Bursars Office regarding financial aid check matters. Financial Aid also communicates with Business Services several times a week on disbursement, reconciliation, reimbursement, and check cancellation issues. Information Management and Financial Aid collaborate very closely on a host of daily system, aid processing, and disbursement issues. In addition, Financial Aid and EOPS share a common space and a close working relationship.

As far as interacting with faculty, it should be noted that both Student Employment and Scholarships actually works with the academic side the most frequently.

### 2. If applicable, discuss the engagement of program members with the local community, industry, professional groups, etc.)

Various staff members attended financial aid conferences and workshops. Most of these events were sponsored by either CASFAA (California Association of Student Financial Aid Administrator Association) or CCCSFAAA (California Community College Student Financial Aid Administrator Association)

Steve Myrow

- CASFAA Annual Conference (Anaheim, November 2014)

Stacy Neal

- CASFAA Annual Conference (Anaheim, November 2014)
- CCCCO All Directors Conference (Monterey, February 2015)
- Jim Briggs Tax Workshop (Los Angeles, March 2015)
- WASFAA Annual Conference (Escondido, April 2015)

Cristobal Bohorquez

- CASFAA Annual Conference (Anaheim, November 2014)

- Ellucian Live (Banner) Conference (New Orleans, April 2015)

Kim Clark

- Jim Briggs Tax Workshop (Los Angeles, March 2015)

Taryn De La Rosa

- WASFAA Annual Conference (Escondido, April 2015)

Nilofar Ghasami

- Jim Briggs Tax Workshop (Los Angeles, March 2015)

Diana Lui

- CASFAA Annual Conference (Anaheim, November 2014)

Damon McLeod

- WASFAA Annual Conference (Escondido, April 2015)

Maria Ong

- CASFAA Annual Conference (Anaheim, November 2014)
- Jim Briggs Tax Workshop (Los Angeles, March 2015)

Jennifer Reza

- Jim Briggs Tax Workshop (Los Angeles, March 2015)
- WASFAA Annual Conference (Escondido, April 2015)

Belen Vaccaro

- CASFAA Annual Conference (Anaheim, November 2014)
- Jim Briggs Tax Workshop (Los Angeles, March 2015)
- Ellucian Live (Banner) Conference (New Orleans, April 2015)

Torrance Williams

- CASFAA Annual Conference (Anaheim, November 2014)

Ollie Winn

- CASFAA Annual Conference (Anaheim, November 2014)

## G1: Current Planning and Recommendations

1. Identify any issues or needs impacting program effectiveness or efficiency for which institutional support or resources will be requested in the coming year. [This information will be reviewed and considered in institutional planning processes but does not supplant the need to request support or resources through established channels and processes].

The main issue is the continuing need to find a better space for both Financial Aid and Scholarships. The existing physical spaces are inadequate for serving the large number of students helped by Financial Aid and Scholarships. (Note: this should be addressed by the planned move to Drescher Hall--which will house Financial Aid, Student Employment, Student Loans, and Scholarship staff.)

2. If applicable, list additional capital resources (facilities, technology, equipment) that are needed to support the program as it currently exists. [This information will be reviewed and considered in institutional planning processes but does not supplant the need to request resources through established channels and processes].

No additional capital resources are needed to support the program as it currently exists.

3. If applicable, list additional human resources (staffing, professional development, staff training) needed to support the program as it currently exists. [This information will be reviewed and considered in institutional planning processes but does not supplant the need to request resources through established channels and processes].

The Financial Aid operation has operated, basically, with the same number of staff for 15 years. During that time the number of Federal Aid applicants has trippled and the number of recipients and total financial aid has also increased dramatically. For an operation this size, NASFAA recommends a staff of 29 or more. SMC Financial Aid and Scholarships has 19--excluding the two part time counselors.

Although two Systems Specialist positions were created last year, SMC Financial Aid would certainly benefits from two new positions: a Senior Student Services Specialist and a Student Services Assistant.

In addition, SMC should consider creating a compliance or regulatory specialist position. While this type of position is more common at four year school, it would be very beneficial to have one person keep abreast of the ever changing federal and state regulatory landscape. This person could also be responsible for policy and procedure documentation.

4. List all current positions assigned to the program.

*List all current positions assigned to the program*

Associate Dean of Financial Aid and Scholarships

Assistant Financial Aid Director

System Specialists (2)

Student Services Specialist—Cal Grants/Student Employment

Student Services Specialist—Loans

Student Services Specialist—Scholarships

Student Services Specialist—Financial Aid (6)

Administrative Assistant

Students Services Clerks (5)

Academic Counselors (2) Part-Time Permanent

## **G2: Future Planning and Recommendations**

1. Projecting toward the future, what trends could potentially impact the program? What changes does the program anticipate in 5 years; 10 years? Where does the program want to be? How is the program planning for these changes?

For Financial Aid, the future will likely be similar the past five very busy years. The number of Federal Aid applications will likely remain high--and the number of AB540 California Dream Act Applications will almost certainly increase. Substantial Federal and State regulatory changes will also likely continue.

One challenge on the immediate horizon revolves around the mandated changes to the Board of Governors Enrollment Fee Waiver Program. These changes actually begin in 2015 / 2016--with BOG recipients required, for the first time, to maintain academic progress. Those who fail to maintain the GPA or completion rate requirements will be placed on Probation. Those who fail to improve their academic efforts after two probationary periods will be placed on Disqualification. Students on BOG Waiver Disqualification will be allowed to go through an appeal process for BOG Waiver Reinstatement.

With 18,000 to 22,000 annual BOG Waiver recipients, the assessment, notification, and appeal processing will further add to SMC FA's administrative responsibilities. Per the law creating these changes, the BOG Appeal Process is not supposed to be solely the responsibility of the

Financial Aid Office. We recommend that the BOG Appeal Process be a Counseling function--since counselors can better address academic progress and personal issues.

From an operational perspective, the Financial Aid and Scholarship operation is in a good position to deal with the challenges ahead--because of our Banner (and Academic Works) technology. To use Banner Financial Aid optimally, however, SMC will need to also implement Banner Student and Banner Finance modules. These Banner modules would provide student accounts--which would allow SMC to apply financial aid and scholarships to student charges. Remaining amounts, after charges are paid, could be transferred to a student's bank account or debit card. This would eliminate lost checks and stale dated warrants.

In addition, to maximise the use of FAO staff, we have purchased and will begin implementing Banner UC4--a programing software will will allow the operation to download Federal aid applications files, Direct loan files, and Pell Grant files--when the office is closed. It will also allow the automation of the large numbers of Banner processing jobs that are run manually--including the sending of award letters and tracking letters.

2. If applicable, list additional capital resources (facilities, technology, equipment) that will be needed to support proposed changes. [This information will be reviewed and considered in institutional planning processes but does not supplant the need to request resources through established channels and processes].

Very little money would be needed for Financial Aid and Scholarships. However, funds to pay for our recommendation to implement the Banner Student and Finance modules would cost the college several hundred thousand dollars. But, it would be a very worthwhile expenditure.

3. If applicable, list additional human resources (staffing, professional development, staff training) that will be needed to support proposed changes. [This information will be reviewed

and considered in institutional planning processes but does not supplant the need to request resources through established channels and processes].

BFAP funding could be used to cover most of the additional staffing recommendations noted elsewhere in this review.

4. If applicable, note particular challenges the program faces including those relating to categorical funding, budget, and staffing.

None.

The Financial Aid Office funds a good portion of its operating expenses with BFAP funding from the State of California. Support of BFAP funding for community college financial aid offices remains high in the California Senate, Assembly, and with the Governor.

5. Summarize any conclusions and long term recommendations for the program resulting from the self evaluation process.

The Financial Aid operation has done an outstanding job with its primary responsibilities--which is to a)process the vast number of federal and state aid applications sent to SMC and to b)provide federal and state funds in a timely manner. It has also done an outstanding job in the implementation of a top tier financial aid software system that can serve the processing requirements of SMC. The continuing work on the Financial Aid Portal should also be acknowledged--providing students with a real-time update on financial aid status, awards, disbursements, satisfactory academic progress, and required documents/actions.

From a regulatory perspective, the operation has also performed well in its adherence to federal financial aid guidelines. Verification, SAP assessment, Pell reporting and reconciliation, Direct Loan processing and reconciliation, Gainfull Employment, and campus based aid management are all areas that meet stringent federal standards.

While Financial Aid has certainly succeeded on many fronts, it has not been easy for the Financial Aid staff or management in recent years. With a staff size that was adequate in 2008-09, when SMC had 16,000 Federal Aid applicants and 4000 Pell recipients--the same cannot be said in 2014-15 with the number of applicants rising to over 45,000, the number of Pell recipients exceeding 9000, and the number of SMC students receiving financial aid now exceeding 21,000. It must be noted that the addition of two System Specialists has helped dramatically with much of the high level processing that happens daily in Financial Aid.

In addition, in an ever shifting regulatory reality, where programs come and go (Academic Competitive Grants and FLEP Student Loans), questionable Federal policies are mandated and then eliminated (Year round Pell), actions to eliminate abuse and/or fraud in proprietary/vocational education (Gainful Employment), and new Satisfactory Academic Progress requirements for BOG Fee Waiver recipients, the administrative burden becomes even more pronounced.

While the inner-face between Banner and ISIS certainly functions, the additional time and effort to synchronize the two systems during payments runs highlights the need for a better solution. In addition, the on-going lack of student accounts and inherent issues with the accounting side of ISIS also point to the need of better systems.

The physical spaces for both Financial Aid and Scholarships are less than optimal for serving students. (Note: this should be addressed by the new Financial Aid space in Dresher Hall, which will house Financial Aid, Student Employment, Student Loans, and Scholarships staff.)

6. Please use this field to share any information the program feels is not covered under any other questions.

NA

## Program Overview

Program:	Financial Aid
Academic Year:	2015/2016
Review Period:	Annual

## A. Description and Goals

1. Describe the program and/or service area under review and how the program supports the mission of Santa Monica College.

### **Program Description:**

The Financial Aid operation oversees 19 different aid programs—with funding provided by federal, state, institutional, and private sources. Those funded by the Federal Government include the Pell Grant, SEOG Grant, Federal Work Study, Direct Subsidized Stafford Loan, Direct UnSubsidized Stafford Loan, and Direct Parent Loan programs. Those funded by the State of California include the Cal Grant B, Cal Grant C, Full Time Student Success Grant, BOG A Enrollment Fee Waiver, BOG B Enrollment Fee Waiver, BOG C Enrollment Fee Waiver, Chaffee Grant, and CalWORKS Work Study programs. Those funded by Santa Monica College include the SMC Emergency Loan, SMC Book Loan, and SMC Foundation Scholarship programs. Financial Aid also administers outside scholarships and a limited number of private loans.

While Financial Aid and Scholarships will provide over \$50,000,000 of assistance in 2015-16 (for the third consecutive year,) the primary focus of the operation goes beyond the awarding and disbursing of aid. The true goal of the operation is helping students succeed in their academic endeavors. Furthermore, Financial Aid supports the mission of Santa Monica College by assisting students with their educational expenses—which includes fees, books, supplies, transportation, food, and housing.

2. Identify the overarching goal(s) or charge/responsibilities of the program or service area. If appropriate, include ensuring/monitoring compliance with state, federal or other mandates.

### **Goals and Responsibilities**

A) Provide federal, state, and institutional financial assistance that helps students pay for their education expenses. In addition, to help the students achieve their educational objective.

B) Maintain compliance with federal and state processing requirements and adherence to Federal and State law.

C) Manage the accounting requirements for both federal and state aid programs and regularly reconcile the Pell, Cal Grant, and Direct Loan Programs. Federal financial aid and Cal Grant programs need to be reconciled on both a monthly and annual basis.

D) Complete the annual Federal FISAP Report—which addresses the use of Federal funds in the previous academic year.

E) Work with Information Management to complete the college's annual submission of Federal and State MIS information to the State of California.

F) Complete the annual BFAP report to the Chancellor's Office. The BFAP report addresses the use of State funding for staff, technology, training, and outreach materials.

G) Manage the substantial transfer of data between the U.S. Department of Education and Santa Monica College. This includes the downloading of FAFSA applications and corrections, the reporting of Pell originations and disbursements, and the submission of Federal Direct Loan certification and other processing files.

H) Manage the assessment of Federal Return of Title IV calculation and Federal Aid Overpayments, the notification to students of overpayment status, the return to Federal Aid Programs of overpayments, and the reporting of overpayment data to the U.S. Department of Education.

3. If your program receives operating funding from any source other than District funds identify the funding source. If applicable, note the start and end dates of the funding (generally a grant), the percentage of the program budget supported by non-District funding, and list any staff positions funded wholly or in part by non-District funds. Do not include awards for non-operational items such as equipment (ex. VTEA) or value added activities (ex Margin of Excellence).

### **Outside Funding**

The Financial Aid Office receives annual funding from the State of California for various financial aid related expenses. The funding, which come from the Board Financial Aid Program (BFAP), is allocated to California Community Colleges for only four purposes: 1) financial aid office staffing 2) technology expenses that help in the processing and awarding of federal and state financial aid, 3) training for financial aid staff, 4) outreach materials.

BFAP funding began when the Board of Governors Enrollment Fee Wavier Program was created in 1984-85. The funding for California Community Colleges, though, was substantially increased ten years ago—as the BFAP allocation went from \$134,000 in 2003-04 to \$776,770 in 2004-05. In recent years, Santa Monica College has received over \$800,000 annually—which is used, primarily, for Financial Aid staffing and technology expenses. The actual amount of BFAP funding is tied to both FTE and the number of BOG Enrollment Fee Waivers awarded to students in the prior year.

The BFAP funding pays for 40+% of the Financial Aid Office's annual staffing expenses. BFAP funds pay for the salaries and benefits of four full time Student Services Clerks, two full time Student Services Specialists, two Systems Specialists, two to three temporary Students Services

Clerks, and the contracts of two part time academic counselors. In addition, BFAP funding also pays the maintenance charges for our Banner Financial Aid Software, Academic Works Scholarship software, and some system and office hardware costs.

## B. Populations Served

### Financial Aid

1. Describe the students your program serves in terms of ethnicity, race, gender, age, residency status, citizenship, educational goal, enrollment status, and full/part-time status. Note any changes in student or enrollment data since the last program review.

Financial Aid reviewed the ethnicity, gender, and age demographics for the Pell Grant and BOG Fee Waiver Programs from the past six years. The following data was taken from the CCCCO Data Mart.

Note: some Data Mart program recipient information is slightly different from that in ISIS.

### Ethnicity & Gender Student Demographics: Pell Grant Program

The Pell Grant Program continues to see growth among Hispanic students—with more than 50% of the 2012-13 Pell recipients identifying themselves as Hispanic. This is an increase from the 37.8% that self-identified as Hispanic in 2007-08. Women still comprise the majority of Pell recipients, but the percentage of female Pell recipients dropped from 58% in 2007-08 to 54% in 2012-13. Also of note is the creation of the multi-ethnicity category in 2008-09. Only two students indicated that they were multi-ethnic that year. In 2012-13, 300 students identified themselves as multi-ethnic

<b>Ethnicity</b>	<b>Pell Grant Recipients – Female Students</b>						
	<b>07/08</b>	<b>08/09</b>	<b>09/10</b>	<b>10/11</b>	<b>11/12</b>	<b>12/13</b>	<b>13/14</b>
African-American	476	626	714	723	745	631	621
American Indian	11	13	14	6	13	9	16
Asian	195	228	303	378	390	353	354
Filipino	30	37	30	51	55	59	80
Hispanic	963	1181	1654	2072	2432	2540	2557
Multi-Ethnicity			52	107	167	178	163
Pacific Islander	9	11	21	19	12	15	8
White Non-Hispanic	519	549	700	811	850	821	840
Unknown	210	233	189	132	94	65	52
<b>Total</b>	<b>2413</b>	<b>2878</b>	<b>3677</b>	<b>4299</b>	<b>4758</b>	<b>4671</b>	<b>4691</b>

<b>Ethnicity</b>	<b>Pell Grant Recipients – Male Students</b>						
	<b>07/08</b>	<b>08/09</b>	<b>09/10</b>	<b>10/11</b>	<b>11/12</b>	<b>12/13</b>	<b>13/14</b>
African-American	320	431	519	569	662	570	<b>610</b>
American Indian	10	10	14	14	6	3	<b>3</b>
Asian	198	177	250	319	371	345	<b>365</b>
Filipino	19	27	24	38	49	46	<b>51</b>
Hispanic	615	824	1168	1550	1871	2012	<b>2210</b>
Multi-Ethnicity		2	47	99	118	122	<b>139</b>
Pacific Islander	16	17	13	12	13	11	<b>9</b>
White Non-Hispanic	406	456	581	685	787	764	<b>764</b>
Unknown	159	213	166	106	73	48	<b>35</b>
<b>Total</b>	<b>1753</b>	<b>2157</b>	<b>2782</b>	<b>3392</b>	<b>3950</b>	<b>3921</b>	<b>4186</b>

Ethnicity	Pell Grant Recipients – All Students						
	07/08	08/09	09/10	10/11	11/12	12/13	13/14
African-American	796	1057	1233	1292	1407	1201	<b>1231</b>
American Indian	21	23	28	20	19	12	<b>19</b>
Asian	393	405	553	697	761	698	<b>719</b>
Filipino	59	64	54	89	104	105	<b>131</b>
Hispanic	1578	2005	2822	3622	4303	4552	<b>4767</b>
Multi-Ethnicity		2	99	206	285	300	<b>302</b>
Pacific Islander	25	28	34	31	25	26	<b>17</b>
White Non-Hispanic	925	1005	1281	1496	1637	1585	<b>1604</b>
Unknown	369	445	355	238	167	113	<b>87</b>
<b>Total</b>	<b>4166</b>	<b>5035</b>	<b>6459</b>	<b>7691</b>	<b>8708</b>	<b>8592</b>	<b>8877</b>

## C. Program Evaluation

### Financial Aid

1. List your student or instructional support service SLOs or UOs.

*SLOs are specific, measurable statements of what a student should know, be able to do, or value when they complete a program/course or sequence of activities. An SLO focuses on specific knowledge, attitudes, or behaviors that students will demonstrate or possess as a result of instruction or program activity.*

*UO statements focus on service or operational outcomes such as:*

- *Volume of unit activity*
- *Efficiency (responsiveness, timeliness, number of requests processed, etc.)*
- *Effectiveness of service in accomplishing intended outcomes (accuracy, completeness, etc.)*
- *Compliance with external standards/regulations*
- *Client/customer satisfaction with services*

### Student Support Unit Outcomes

A. Students will be awarded their financial aid package earlier.

Criteria for success: The number of aid packages disbursed by the first day of the semester will be higher than in previous years.

B. Students will have their financial aid applications processed faster. Criteria for success: The volume of disbursements will be higher than in previous years.

*1. Describe when and how the program assesses these UOs and uses the results to inform program planning including:*

- *how outcomes are assessed and how often*
- *the assessment tool(s) used*
- *the sample (who gets assessed)*
- *how and when the program reviews the results and who is engaged in the process*

### **UO Assessment**

Financial Aid assesses the processing, awarding, and disbursing of aid at various points in the eighteen months “financial aid processing year.” The processing year for 2014-15 began on January 1, 2014, extends through Fall 2014, Winter 2015, Spring 2015, Summer 2015, and will end on October 1, 2015—with the submission of the 2014-15 Federal Financial Aid FISAP Report.

For our assessment of the Financial Aid Office’s Administrative Unit Outcomes, we wanted to determine if our internal changes and efforts were resulting in our intended outcomes. Our first UO addresses the institutional desire to have as many Federal financial applicants awarded (and disbursed) by the beginning of the Fall and Spring terms—as possible. We have known that academic success for high-need students is tied to their ability—early in the term—to purchase books/supplies, pay for transportation expenses, and have money for food.

By looking at the amount of grant checks (and the dollar amounts) disbursed by Week 1 of the Fall and Spring terms (over the past nine years), the data definitely demonstrates that the intended outcome for our first UO was accomplished.

Our second UO was to package federal aid at a faster pace. The Fall check disbursement data (below) was also used to assess that outcome. Both first week and mid-term disbursement figures indicate that awards have been generated at a faster pace—each ensuing year. This outcome was also achieved.

### ***Fall Check Disbursement Comparisons: Fall Semesters 2006 to 2014***

	<b><i>1<sup>st</sup> Week of Fall</i></b>	<b><i>Fall Mid-Term “Full Payment”</i></b>
	<b><i>Check Disbursement Data</i></b>	<b><i>Disbursement Data</i></b>
<b>Fall 2014</b>	6799 grant checks** / \$4,907,595	6426 grant checks** / \$6,220,479

<b>Fall 2013</b>	6009 grant checks / \$4,157,145	9384 grant checks / \$6,040,431
<b>Fall 2012</b>	5348 grant checks / \$3,637,358	9098 grant checks / \$6,111,033
<b>Fall 2011</b>	5043 grant checks / \$3,444,246	7971 grant checks / \$5,803,662
<b>Fall 2010</b>	4050 grant checks / \$2,616,447	7009 grant checks / \$4,944,943
<b>Fall 2009</b>	3866 grant checks / \$2,479,186	5642 grant checks / \$3,786,827
<b>Fall 2008</b>	3286 grant checks / \$1,907,256	4986 grant checks / \$2,753,514
<b>Fall 2007</b>	3032 grant checks / \$1,504,480	4741 grant checks / \$2,670,580
<b>Fall 2006</b>	2286 grant checks / \$1,148,255	3503 grant checks / \$2,008,303

\*\* Less first and mid-term grant checks because of move to single Cal Grant disbursement between first and second disbursements. No Cal Grant check disbursed this week. (Pell and SEOG only.)

***Spring Check Disbursement Comparisons: Spring Semesters 2007 to 2015***

***1<sup>st</sup> Week of Spring***

***Spring Mid-Term "Full Payment"  
Disbursement Data***

***Check Disbursement Data***

<b>Spring 2015</b>	8517 grant checks** / \$6,673,872	8708 grant checks ** / \$6,818,749
<b>Spring 2014</b>	9235 grant checks / \$6,432,852	9599 grant checks / \$6,524,226
<b>Spring 2013</b>	9165 grant checks / \$6,299,524	9248 grant checks / \$6,281,468
<b>Spring 2012</b>	8414 grant checks / \$6,363,120	7857 grant checks / \$5,806,793
<b>Spring 2011</b>	6762 grant checks / \$5,236,438	7934 grant checks / \$5,495,371
<b>Spring 2010</b>	6266 grant checks / \$4,344,128	6295 grant checks / \$4,252,982
<b>Spring 2009</b>	5271 grant checks / \$2,976,455	5188 grant checks / \$2,927,093
<b>Spring 2008</b>	4731 grant checks / \$2,427,367	4352 grant checks / \$2,287,607
<b>Spring 2007</b>	4400 grant checks / \$2,199,815	3940 grant checks / \$1,985,799

\*\* Less first and mid-term grant checks because of move to single Cal Grant disbursement between first and second disbursements. No Cal Grant check disbursed this week

2. Describe when and how the program assesses these SLOs and UOs and uses the results to inform program planning including:

- how outcomes are assessed and how often
- the assessment tool(s) used
- the sample (who gets assessed)
- how and when the program reviews the results and who is engaged in the process

## D1. Objectives

Objectives: A) Continue the development of the Banner Financial Aid Software Module and the development of the implemented Ellucian/Banner UC4 processing software. B) Maintain the general amount of assistance to SMC students with the Pell Grants and BOG Waivers Programs C) Keep Stafford Loan Cohort Default Rates low D)Continue development of Scholarship Processing Software system E) Improve Return of Title IV Withdrawal reports and create process that can automate Return of Title IV calculations F) Continue work on Policy and Procedure Manual

Status: In Progress

Comments:

A) Banner and UC4: Provides funding to students and help with student enrollment and success. B) Amount of assistance to students: Helps with student enrollment and success. C) Low Default: Keeps Federal Aid Programs at SMC--which helps with enrollment and student success. D) Scholarship software development: Helps with student enrollment and success. E) Return of Title IV; Helps with Federal Compliance and Federal Program integrity. F) Policy and Procedure Manual: helps with Federal Compliance.

## D1. Looking Back

1. Describe any accomplishments, achievements, activities, initiatives undertaken, and any other positives the program wishes to note and document.

The SMC Financial Aid & Scholarship Operation had one of it's most productive years ever. Student awards for Pell, Board of Governors Enrollment Fee Waivers, and Cal Grants were at an all-time high. The Financial Aid Office also, once again, set records for the number of aid recipients and total financial aid dollars. In addition, two major system and processing goals were completed this year, including the implementation of the Academic Works Scholarship Software System and the development of the Cal Grant awarding and reporting process.

**A. Academic Works Scholarship Software System Implementation Continued.**

In Summer and Fall of 2015, a team of Financial Aid, Scholarship, and Information Management staff continued the development of the Academic Works Scholarship System. This system has many features include an on-line application (instead of paper), the electronic submission of recommendation letters, an internal scoring system, and a sophisticated communication system—with both reviewers and students. The system allows the end users to set up individual scholarship parameters and match qualified students to the scholarships.

The Financial Aid, Scholarship, and IT team of the system—including the data file import from ISIS—took many months to complete. The system went live on February 3. Students were given a month to complete their e-applications and obtain recommendation. A record number of students applied—over 1300. However, not all students submitted personal statements or had recommendations.

Committees started receiving their scholarship pools in mid-April and selections for almost all of the scholarships winners have already been done—as of the time of this report.

The scholarship software system development team will reconvene after the SMC Foundation Scholarship Ceremony—which will be on June 13. At that time, the team plans to do an evaluation of the first year with the system and identify the modifications and improvements that will be made in the second year to make the review process easier.

## **B. Cal Grant Packaging and Reporting Automation**

Historically, the awarding and reporting of Cal Grant disbursements was done on a manual basis. The Cal Grant and Student Employment Student Services Specialist would review the students with an award in the Cal Grant website and then award the Cal Grant in Banner (if the student had already been awarded Federal Aid) and/or leave a comment in the Banner comment screen. Then, when disbursements were made in Banner, the Specialist would enter the disbursements individually in the Cal Grant website.

Obviously, this required a considerable amount of manual effort. This past summer, our Cal Grant Student Services Specialist and one of our new Systems Specialist began the Cal Grant Automation Project. We had two major goals for the project. The first was to create a process that could first upload the Cal Grant roster into our Banner Financial Aid system and then include Cal Grant awards in the batch and individual awarding processes. The second goal was to create a process that could export a payment file from Banner and import it into the Cal Grant Web-Grant system.

Both systems were created and tested in the TEST instance of Banner. Then the system was run—live—and it has performed as expected. Both processes save a considerable number of staffing hours over the course of a year.

## **C. Increases in Applications, Regulatory Changes, Total Financial Aid**

The SMC Financial Aid Office continues to process an extremely high number of federal aid applications. Driven by the nation’s economic downturn, the number of federal aid applicants has almost tripled over the past six years—going from 16,171 students in 2007-08 to 42,100 (to date) for 2015-16. While the Financial Aid Office did see a slight drop in applicants in 2015-16, the number of students receiving financial aid is similar to previous years.

***Federal Financial Aid Applicants: 2006-07 through 2015-16***

<b>Academic Year</b>	<b>Number of Federal Aid Applicants</b>
<b>2015-2016</b>	42,100 (as of 5/16/16)
<b>2014-2015</b>	45,490
<b>2013-2014</b>	44,784
<b>2012 - 2013</b>	45,720
<b>2011 - 2012</b>	39,206
<b>2010 - 2011</b>	32,215
<b>2009 - 2010</b>	26,042
<b>2008 - 2009</b>	20,392
<b>2007 - 2008</b>	16,171
<b>2006 - 2007</b>	15,546

Financial Aid has also responded to substantial number of regulatory changes in the past two years—including those in verification, satisfactory academic progress rules, “ability to benefit” rules, “unusual enrollment” rules, new 150% rules for both Pell Grants and Stafford Loans, Gainful Employment reporting, and the documentation of high school graduation.

With the backdrop of these unprecedented changes in the Financial Aid landscape, the SMC FA Office, (over the past six years) has generated a significant amount of assistance to SMC students. While the Financial Aid Office has long provided help to a substantial portion of the SMC student population, the number of aid recipients has also grown over the past six years. In the current 2014-15 school year, the Financial Aid Office has already provided aid to more students than ever before—with 22,013 students receiving some type of Federal and/or State aid. This represents over 51% of the credit population at SMC. Note that this is a considerable increase in the overall percentage of SMC students receiving assistance—which historically has been in the 20-25% range.

From a student aid perspective, the Financial Aid Office has provided more aid to more students than in any previous year. The following tables look at the number of Federal and State aid recipients since 2006-07. For the second consecutive year, more than half of all SMC credit student are receiving some type of assistance from SMC Financial Aid.

***D. Federal & State Financial Aid Recipients & Dollars: 2006-07 through 2015-16***

<b>Academic Year</b>	<b>Total Aid Recipients</b>	<b>% of SMC Students Receiving Aid</b>
<b>2015-2016</b>	21,481	49.45% (as of 5/23/2016)

<b>2014-2015</b>	22,013	51.4%
<b>2013-2014</b>	21,636	52.1 %
<b>2012-2013</b>	20,891	49.6%
<b>2011-2012</b>	18,923	44.3%
<b>2010-2011</b>	17,557	37.8%
<b>2009-2010</b>	16,092	32.4%
<b>2008-2009</b>	14,051	27.7%
<b>2007-2008</b>	12,293	26%
<b>2006-2007</b>	11,255	24.5%

**Total Financial Aid Dollars: 2006-07 through 2015-16**

<b>Academic Year</b>	<b>Total Aid</b>
<b>2015 / 2016</b>	\$49,999,579 (as of 5/25/2016)
<b>2014 / 2015</b>	\$54,095,265
<b>2013 / 2014</b>	\$51,046,139
<b>2012 / 2013</b>	\$48,720,576
<b>2011 / 2012</b>	\$45,462,380
<b>2010 / 2011</b>	\$39,484,636
<b>2009 / 2010</b>	\$33,533,842
<b>2008 / 2009</b>	\$24,403,380
<b>2007 / 2008</b>	\$20,085,514
<b>2006 / 2007</b>	\$18,423,845

**E. Pell Grants and Board of Governors (BOG) Enrollment Fee Waiver Programs**

SMC's two largest aid programs, the Pell Grant and the BOG Enrollment Fee Waiver, have grown dramatically since 2006-07. The Pell Grant Program has exceeded 9000 recipients annually and disbursements have exceeded \$29 million for the last two school years. In addition, the number of students receiving BOG fee waivers has almost doubled since 2006-07, with over 21,000 students receiving fee waivers in 2014-15. (See Pell and BOG data below.)

**Pell Grant Program: 2006-07 to 2015-16**

<b>Academic Year</b>	<b>Number of Students Receiving Pell</b>	<b>Total Pell Disbursed</b>
<b>2015 / 2016</b>	8292*	\$28,004,452 * (as of 5/25/2016)
<b>2014 / 2015</b>	9565	\$31,419,088
<b>2013 / 2014</b>	8895	\$29,338,634
<b>2012 / 2013</b>	8680	\$28,714,923
<b>2011 / 2012</b>	8708	\$28,721,948
<b>2010 / 2011</b>	7691	\$26,105,070

<b>2009/ 2010</b>	6448	\$21,320,224
<b>2008 / 2009</b>	5052	\$14,575,948
<b>2007 / 2008</b>	4160	\$10,957,399
<b>2006 / 2007</b>	3733	\$9,255,219

**Board of Governors Enrollment Fee Waiver Program: 2006-07 to 2015-16**

<b>Academic Year</b>	<b>Number of Students With Fee Waiver</b>	<b>Total Enrollment Fees Waived</b>
<b>2015 / 2016</b>	21331	\$16,063,435 (as of 5.25.16)
<b>2014 / 2015</b>	21872	\$16,462,387
<b>2013 / 2014</b>	21538	\$16,259,427
<b>2012 / 2013</b>	20777	\$15,238,443
<b>2011 / 2012</b>	18732	\$10,834,375
<b>2010 / 2011</b>	17266	\$7,421,973
<b>2009 / 2010</b>	15790	\$6,460,966
<b>2008 / 2009</b>	13747	\$4,575,640
<b>2007 / 2008</b>	12017	\$4,036,700
<b>2006 / 2007</b>	11053	\$4,306,968

**Cal Grants, Student Employment, SEOG, Loans, and Scholarships**

While we have seen dramatic increases in the Pell and BOG Waiver programs, other financial aid programs have seen fluctuations and decreases in funding. Federal Work Study funding, other than in the year SMC received additional stimulus money (2009-10), has decreased. The SEOG Grant Program has also seen a reduction in funding after 2007-08. Cal Grant awards, which are determined by the California Student Aid Commission, have been increasing since 2009-10. AB540 students became Cal Grant eligible in 2013-14--and helped raise the award numbers in 2014-15 and 2015-16. SMC Scholarships are based on Foundation funding levels. In addition, outside scholarships are determined by many factors, including the state of the economy. Student loans have actually decreased in the past two years--after the increase during the economic downturn from 2008 to 2012. Student Help spending, which comes from departmental funds, did see a spike this year, as wages went to \$10/hour.

***CAL Grant Program: 2006-07 through 2015-16***

<b>Academic Year</b>	<b>Number of Students Receiving CAL Grants</b>	<b>Amount Paid</b>
<b>2015 / 2016</b>	1579	\$1,967,195 (as of 5/26/16)
<b>2014 / 2015</b>	1637	\$2,153,001
<b>2013 / 2014</b>	1200	\$1,349,371

<b>2012 / 2013</b>	1093	\$1,237,175
<b>2011 / 2012</b>	1118	\$1,349,573
<b>2010 / 2011</b>	857	\$1,040,992
<b>2009 / 2010</b>	634	\$764,077
<b>2008 / 2009</b>	579	\$701,750
<b>2007 / 2008</b>	724	\$881,276
<b>2006 / 2007</b>	845	\$1,031,623

***Federal Work-Study (FWS) Program: 2006-07 through 2015-16***

<b>Academic Year</b>	<b>Number of Students Receiving FWS</b>	<b>Amount Paid</b>
<b>2015 / 2016</b>	356	\$491,775 (as of 4/30/2016)
<b>2014 / 2015</b>	409	\$648,830
<b>2013 / 2014</b>	478	\$790,445
<b>2012 / 2013</b>	382	\$742,724
<b>2011 / 2012</b>	396	\$717,480
<b>2010 / 2011</b>	362	\$674,556
<b>2009/ 2010</b>	430	\$829,842
<b>2008 / 2009</b>	386	\$739,092
<b>2007 / 2008</b>	391	\$751,360
<b>2006 / 2007</b>	319	\$577,521

***Student Help (SH) Program: 2006-07 through 2015-16***

<b>Academic Year</b>	<b>Number of Students Receiving SH</b>	<b>Amount Paid</b>
<b>2015 /2016</b>	564	\$911,857 (as of 4/30/16)
<b>2014 / 2015</b>	423	\$1,104,150
<b>2013 / 2014</b>	408	\$906,328
<b>2012 / 2013</b>	588	\$916,496
<b>2011 / 2012</b>	575	\$844,164
<b>2010 / 2011</b>	588	\$906,392
<b>2009/ 2010</b>	576	\$833,472
<b>2008 / 2009</b>	575	\$879,916
<b>2007 / 2008</b>	586	\$875,984
<b>2006 / 2007</b>	589	\$818,289

***Federal Stafford Loan Programs: 2006-07 through 2015-16***

<b>Academic Year</b>	<b>Number of Students Receiving Stafford</b>	<b>Amount Paid</b>
<b>2015 / 2016</b>	421	\$2,071,016 (as of 5/27/16)
<b>2014 / 2015</b>	443	\$2,116,494
<b>2013 / 2014</b>	424	\$2,047,983
<b>2012 / 2013</b>	503	\$2,056,269
<b>2011 / 2012</b>	563	\$2,219,427
<b>2010 / 2011</b>	580	\$2,311,459
<b>2009/ 2010</b>	538	\$2,249,517
<b>2008 / 2009</b>	522	\$1,719,801
<b>2007 / 2008</b>	394	\$1,264,463
<b>2006 / 2007</b>	335	\$844,452

***Federal Supplemental Educational Grant (SEOG) Program: 2006-07 to 2015-16***

<b>Academic Year</b>	<b>Number of Students Receiving SEOG</b>	<b>Amount Paid</b>
<b>2015 / 2016</b>	4101	\$564,559 (as of 5/27/16)
<b>2014 / 2015</b>	4146	\$578,210
<b>2013 / 2014</b>	4683	\$634,178
<b>2012 / 2013</b>	5272	\$766,373
<b>2011 / 2012</b>	3038	\$821,114
<b>2010 / 2011</b>	3455	\$931,925
<b>2009/ 2010</b>	3429	\$869,100
<b>2008 / 2009</b>	3052	\$869,234

***Scholarship Program— SMC Foundation Funded: 2007-08 through 2014-15***

<b>Academic Year</b>	<b>Number of Students Receiving Foundation Scholarships</b>	<b>Amount Paid</b>
<b>2014 / 2015</b>	495	\$399,200
<b>2013 / 2014</b>	426	\$420,450
<b>2012 / 2013</b>	426	\$381,910
<b>2011 / 2012</b>	378	\$367, 795
<b>2010 / 2011</b>	397	\$363,300
<b>2009/ 2010</b>	408	\$313,650
<b>2008 / 2009</b>	360	\$312,726
<b>2007 / 2008</b>	263	\$292,000

**Scholarship Program—From Outside Entity: 2007-08 through 2014-15**

<b>Academic Year</b>	<b>Number of Students Receiving Outside Scholarships</b>	<b>Amount Paid</b>
<b>2014 / 2015</b>	151	\$203,524
<b>2013 / 2014</b>	128	\$218,578
<b>2012 / 2013</b>	137	\$189,049
<b>2011 / 2012</b>	144	\$225,976
<b>2010 / 2011</b>	128	\$213,185
<b>2009/ 2010</b>	152	\$226, 539
<b>2008 / 2009</b>	119	\$219,380
<b>2007 / 2008</b>	154	\$321,268

2. Describe any changes or activities your program or service area has made that are not addressed in the objectives, identify the factors (e.g., licensure requirements, state or federal requirements, CCCO mandates, regulations, etc.) that triggered the changes, and indicate the expected or anticipated outcomes.

None, not elsewhere noted.

3. If your program received one time funding of any kind indicate the source, how the funds were spent and the impact on the program (benefits or challenges).

Not Applicable

**D2: Moving Forward**

Discuss and summarize conclusions drawn from data, assessments (SLO, UO) or other evaluation measures identified in Section C and indicate responses or programmatic changes planned for the coming year(s) including:

- how the assessment results are informing program goals and objectives, program planning, and decision-making
- specific changes planned or made to the program based on the assessment results

Conclusions from the UO analysis are already noted in Section C.

Goals and objectives for the program are more driven by Federal and State regulations and the technological aspect of Financial Aid and Scholarships. Goals and objectives are also driven by the extremely high number of aid recipients.

## D2: Objectives

*No Objective have been entered.*

## E. Curriculum Review

1. Discuss how the department reviews, revises, and creates new curriculum. Include the following information:

- The process by which department members participate in the review and revision of curriculum.
- How program goals and SLOS are integrated into course design and curriculum planning.
- The relationship of program courses to other college programs (cross-listing, overlapping content)
- The rationale for any changes to pre-requisites, co-requisites and advisories.
- How the department ensures course syllabi are aligned with the course outline of record.

2. Discuss the role of the advisory board and other industry bodies or input in updating curriculum to meet industry standards and the needs of students.

## F. Community Engagement

1. If applicable, describe how your department staff members engage in institutional efforts such as committees and presentations, and departmental activities.

### **COMMUNITY ENGAGEMENT: Committees, Workshops, Presentations & In-reach**

SMC Committees These Financial Aid staff were members of the following SMC Committees in 2015-16:

Steve Myrow—DPAC HR Committee

Stacy Neal—EOPS Advisory Committee

Nilofar Ghasami—DPAC Budget Committee

Student Services Scheduled Workshops The following participated in scheduled workshops on-campus in 2015-16:

Kim Clark—Financial Aid

Belen Vacarro--Financial Aid and California Dream Application

Marcia Fierro—Scholarships

College Wide Events The following staff participated in college wide events during the 2015-16 school year.

Stacy Neal—all of the following:

VIP Welcome Day

Adelante/Black Collegians Workshop

Summer Bridge (JAMS)

High School Counselor Seminar

EOPS Manditory Meetings

4C Counseling Intern Training

Veterans/VRC Training

Counseling 20 Presentations

Kim Clark

Taryn De La Rosa

Jennifer Reza

Stacy Neal

Nilofar Ghasami

Nursing FA Workshops

Carolyn Dammer

FAFSA, Cal Dream, or Scholarship Application Workshops

Belen Vacarro

Cristobal Bohorquez

Stacy Neal

Jennifer Reza

Marcia Fierro

Torrance Williams

Nilofar Ghasami

Off campus FA presentations

Nilofar Ghasami

Belen Vacarro

Financial Aid & Scholarship Partnership with other SMC Units

The Financial Aid operation works closely with all student services/student support units. Financial Aid and Admissions address many student related issues—especially with non-residents. Financial Aid and Outreach also collaborate with the funding of non-residents and some residents. Financial Aid communicates regularly with Auxiliary Services/Bursars Office regarding financial aid check matters. Financial Aid also communicates with Business Services several times a week on disbursement, reconciliation, reimbursement, and check cancellation issues. Information Management and Financial Aid collaborate very closely on a host of daily system, aid processing, and disbursement issues. In addition, Financial Aid and EOPS share a common space and a close working relationship.

As far as interacting with faculty, it should be noted that both Student Employment and Scholarships actually works with the academic side the most frequently.

2. If applicable, discuss the engagement of program members with the local community, industry, professional groups, etc.)

Various staff members attended financial aid conferences and workshops. Most of these events were sponsored by either CASFAA (California Association of Student Financial Aid Administrator Association), CCCSFAAA (California Community College Student Financial Aid Administrator Association), or the US Department of Education.

Steve Myrow

- CASFAA Annual Conference (Sacramento, November 2015)
- CCCCO All Directors Conference (San Diego, April 2016)

- CCCSFAAA Annual Conference (San Diego, April 2016)

Stacy Neal

- CASFAA Annual Conference (Sacramento, November 2015)
- CCCCCO All Directors Conference (San Diego, April 2016)
- CCCSFAAA Annual Conference (San Diego, April 2016)

Cristobal Bohorquez

- CASFAA Annual Conference (Sacramento, November 2015)
- Ellucian Live (Banner) Conference (Denver, April 2016)

Taryn De La Rosa

- Federal Student Aid Training Conference (Las Vegas , December 2015)

Nilofar Ghasami

- Strengthening Student Success Conference (Oakland, October 2015)

Diana Lui

- CCCSFAAA Annual Conference (San Diego, April 2016)

Damon McLeod

- Federal Student Aid Conference (Las Vegas, December 2015)

Maria Ong

- CASFAA Annual Conference (Sacramento, November 2015)

Jennifer Reza

- CASFAA Annual Conference (Sacramento, November 2015)

Belen Vaccaro

- CASFAA Annual Conference (Sacramento, November 2015)
- CCCSFAAA Annual Conference (San Diego, April 2016)

Torrance Williams

- CCCSFAAA Annual Conference (San Diego, April 2016)

Connie Chen

- CCCSFAAA Annual Conference (San Diego, April 2016)

Jeanette Ciciora

- CCCSFAAA Annual Conference (San Diego, April 2016)

## **G1: Current Planning and Recommendations**

1. Identify any issues or needs impacting program effectiveness or efficiency for which institutional support or resources will be requested in the coming year. [This information will be reviewed and considered in institutional planning processes but does not supplant the need to request support or resources through established channels and processes].

The main issue, for years, has been the ongoing need to find a better space for both Financial Aid and Scholarships. The existing physical spaces have been inadequate for serving the large number of students helped by Financial Aid and Scholarships.

However, as of this past week, the Financial Aid staff have moved into the new Financial Aid and Scholarships Office in Drescher Hall. Scholarships will join Financial Aid later in June.

So, from an institutional support perspective, there are no needs or issues impacting program effectiveness.

2. If applicable, list additional capital resources (facilities, technology, equipment) that are needed to support the program as it currently exists. [This information will be reviewed and considered in institutional planning processes but does not supplant the need to request resources through established channels and processes].

No additional capital resources are needed to support the program as it currently exists.

3. If applicable, list additional human resources (staffing, professional development, staff training) needed to support the program as it currently exists. [This information will be reviewed and considered in institutional planning processes but does not supplant the need to request resources through established channels and processes].

The Financial Aid operation has operated, basically, with the same number of staff for 15 years. During that time the number of Federal Aid applicants has tripled and the number of recipients and total financial aid has also increased dramatically. For an operation this size, NASFAA recommends a staff of 29 or more. SMC Financial Aid and Scholarships has 19--excluding the two part time counselors.

Although two Systems Specialist positions were created last year, SMC Financial Aid would certainly benefit from two new positions: a Senior Student Services Specialist and a Student Services Assistant.

In addition, SMC should consider creating a compliance or regulatory specialist position. While this type of position is more common at four year school, it would be very beneficial to have one person keep abreast of the ever changing federal and state regulatory landscape. This person could also be responsible for policy and procedure documentation.

#### 4. List all current positions assigned to the program.

*List all current positions assigned to the program*

Associate Dean of Financial Aid and Scholarships

Assistant Financial Aid Director

System Specialists (2)

Student Services Specialist—Cal Grants/Student Employment

Student Services Specialist—Loans

Student Services Specialist—Scholarships

Student Services Specialist—Financial Aid (6)

Administrative Assistant (position vacant)

Students Services Clerks (5)

Academic Counselors (2) Part-Time Permanent

## G2: Future Planning and Recommendations

1. Projecting toward the future, what trends could potentially impact the program? What changes does the program anticipate in 5 years; 10 years? Where does the program want to be? How is the program planning for these changes?

For Financial Aid, the future will likely be similar the past five very busy years. The number of Federal Aid applications will likely remain high--and the number of AB540 California Dream Act Applications will almost certainly increase. Substantial Federal and State regulatory changes will also likely continue.

One continuing challenge on the immediate horizon revolves around the mandated changes to the Board of Governors Enrollment Fee Waiver Program regarding academic progress. These changes will make students ineligible for BOG fee waivers, beginning in Fall 2016. Those who fail to improve their academic efforts after two probationary periods will be placed on Disqualification. Students on BOG Waiver Disqualification will be allowed to go through an appeal process for BOG Waiver Reinstatement.

With 18,000 to 22,000 annual BOG Waiver recipients, the assessment, notification, and appeal processing has already added to SMC FA's administrative responsibilities.

From an operational perspective, the Financial Aid and Scholarship operation is in a good position to deal with the challenges ahead--because of our Banner (and Academic Works) technology. To use Banner Financial Aid optimally, however, SMC will need to also implement Banner Student and Banner Finance modules. These Banner modules would provide student accounts--which would allow SMC to apply financial aid and scholarships to student charges. Remaining amounts, after charges are paid, could be transferred to a student's bank account or debit card. This would eliminate lost checks and stale dated warrants.

In addition, to maximise the use of FAO staff, we have purchased and implemented Banner UC4--a programing software will will allow the operation to download Federal aid applications files, Direct loan files, and Pell Grant files--when the office is closed. It will also allow the automation of the large numbers of Banner processing jobs that are run manually--including the sending of award letters and tracking letters.

2. If applicable, list additional capital resources (facilities, technology, equipment) that will be needed to support proposed changes. [This information will be reviewed and considered in institutional planning processes but does not supplant the need to request resources through established channels and processes].

Very little money would be needed for Financial Aid and Scholarships. However, funds to pay for our recommendation to implement the Banner Student and Finance modules would cost the college several hundred thousand dollars. But, it would be a very worthwhile expenditure.

3. If applicable, list additional human resources (staffing, professional development, staff training) that will be needed to support proposed changes. [This information will be reviewed and considered in institutional planning processes but does not supplant the need to request resources through established channels and processes].

BFAP funding could be used to cover most of the additional staffing recommendations noted elsewhere in this review.

4. If applicable, note particular challenges the program faces including those relating to categorical funding, budget, and staffing.

None.

The Financial Aid Office funds a good portion of its operating expenses with BFAP funding from the State of California. Support of BFAP funding for community college financial aid offices remains high in the California Senate, Assembly, and with the Governor.

5. Summarize any conclusions and long term recommendations for the program resulting from the self evaluation process.

The Financial Aid operation has done an outstanding job with its primary responsibilities--which is to a)process the vast number of federal and state aid applications sent to SMC and to b)provide federal and state funds in a timely manner. It has also done an outstanding job in the implementation of a top tier financial aid software system that can serve the processing requirements of SMC. The continuing work on the Financial Aid Portal should also be acknowledged--providing students with a real-time update on financial aid status, awards, disbursements, satisfactory academic progress, and required documents/actions.

From a regulatory perspective, the operation has also performed well in its adherence to federal financial aid guidelines. Verification, SAP assessment, Pell reporting and reconciliation, Direct Loan processing and reconciliation, Gainfull Employment, and campus based aid management are all areas that meet stringent federal standards.

While Financial Aid has certainly succeeded on many fronts, it has not been easy for the Financial Aid staff or management in recent years. With a staff size that was adequate in 2008-

09, when SMC had 16,000 Federal Aid applicants and 4000 Pell recipients--the same cannot be said in 2015-16 with the number of applicants rising to over 42,00, the number of Pell recipients remaining in the 8000-9000 realm, and the number of SMC students receiving financial aid now exceeding 21,000. It must be noted that the addition of two System Specialists has helped dramatically with much of the high level processing that happens daily in Financial Aid.

In addition, in an ever shifting regulatory reality, where programs come and go (Academic Competitive Grants and FLEP Student Loans), questionable Federal policies are mandated and then eliminated (Year round Pell), actions to eliminate abuse and/or fraud in proprietary/vocational education (Gainful Employment), and new Satisfactory Academic Progress requirements for BOG Fee Waiver recipients, the administrative burden becomes even more pronounced.

While the inner-face between Banner and ISIS certainly functions, the additional time and effort to synchronize the two systems during payments runs highlights the need for a better solution. In addition, the on-going lack of student accounts and inherent issues with the accounting side of ISIS also point to the need of better systems.

6. Please use this field to share any information the program feels is not covered under any other questions.

NA