1. Support Services Report Template

Report Info
Name of the person completing this report: Amu Huie
Title of the person completing this report: Associate Director, Financial Aid
Supervisor/dean reviewing report: Greg Smith
Name of second reviewer (if necessary): Linda Dalton
Service: Ensure compliance with Fed, State, and CSU regulations
Division/College: PEMSA

3. Mandated Service

Link to Scoring Rubric

1.1 Please indicate below if any aspect of the service is legally mandated by any of the following and provide the relevant reference.

Federal Law: x
State Law: x
Executive Order: x
Campus Policy: x
Any other: Office policy

Provide a brief explanation, if necessary, in < 60 words.

The eligibility for and the delivery of the various financial aid programs we administer requires adherence to a multitude of regulations, policies and rules from the federal, state, CSU and campus levels.

4. Importance of Service

Briefly describe the service in terms of its primary function(s) and purpose(s) using <120 words

The President of the University signs participation agreements with the Department of Education and the California Student Aid Commission agreeing to abide by the rules and regulations governing federal and state aid programs. The University undergoes regular internal and external audits to ensure compliance with all applicable program rules. The Financial Aid Office expends a substantial amount of time and effort to ensure compliance and mitigate the risk to the University.

Link to Scoring Rubric

2.1 Who are the primary receivers of this service? (Please enter the percentage of each user group that is relevant)

Administrators/staff: 100%
Total: 100%

Link to Scoring Rubric

2.2 Please indicate the direct or indirect impact of the service on students for each of the three University Action/Student Impact Areas listed below (for example processing financial aid applications would be direct impact on students while managing utility services would be indirect).

<table>
<thead>
<tr>
<th>Direct Impact on Students</th>
<th>Indirect Impact on Students</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Provide a brief narrative (<60 words each) explaining your selection for each area.

<table>
<thead>
<tr>
<th>Area</th>
<th>Evidence submitted to support the chosen selection (&lt;60 words for each)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Pre-college (helping students to enter the system)</td>
<td>By maintaining our eligibility to participate in financial aid programs, the University is able to promote financial aid to incoming students as a way to finance their education.</td>
</tr>
<tr>
<td>During college (helping students succeed while they are at Cal State East Bay)</td>
<td>By maintaining our eligibility to participate in financial aid programs, the University is able to provide financial aid to students enrolled in the University's academic programs.</td>
</tr>
<tr>
<td>After college (helping students establish meaningful lifework and be socially responsible contributors to society)</td>
<td>By maintaining our eligibility to participate in financial aid programs, students who received financial aid had a greater opportunity to complete their education which could lead them to gainful employment and social awareness.</td>
</tr>
</tbody>
</table>

Link to Scoring Rubric

2.3 Applying the four choices presented below, please indicate the consequence of NOT having this service on each of the actions in the left hand column.

<table>
<thead>
<tr>
<th>Area</th>
<th>4 - Service provides evidence of direct impact in more than one area</th>
<th>3 - Service provides evidence of direct impact in one area</th>
<th>2 - Service provides evidence of indirect impact in more than one area</th>
<th>1 - Service provides evidence of indirect impact in one area</th>
</tr>
</thead>
<tbody>
<tr>
<td>Pre-college (helping students to enter the system)</td>
<td></td>
<td></td>
<td></td>
<td>✔</td>
</tr>
<tr>
<td>During college (helping students succeed while they are at Cal State East Bay)</td>
<td></td>
<td></td>
<td></td>
<td>✔</td>
</tr>
<tr>
<td>After college (helping students establish meaningful lifework and be socially responsible contributors to society)</td>
<td></td>
<td></td>
<td></td>
<td>✔</td>
</tr>
</tbody>
</table>

Provide a brief narrative (<60 words each) explaining your choice.

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<th>Area</th>
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</tr>
</thead>
<tbody>
<tr>
<td>Pre-college (helping students to enter the system)</td>
<td>If the University could not participate in federal and state financial aid programs, its ability to attract incoming students would be severely impacted. In 2011-12, the University received over 23,000 financial aid applications.</td>
</tr>
<tr>
<td>During college (helping students succeed while they are at Cal State East Bay)</td>
<td>If the University could not participate in federal and state financial aid programs, many students would not be able to matriculate without the financial assistance they receive from the financial aid programs. In 2011-12, over 9300 students received aid and over $88m dollars were disbursed to eligible students.</td>
</tr>
<tr>
<td>After college (helping students establish meaningful lifework and be socially responsible contributors to society)</td>
<td>If the University could not participate in federal and state financial aid programs, fewer students would attend CSUEB and fewer students would graduate from CSUEB.</td>
</tr>
</tbody>
</table>
2.4 Alignment with Shared Strategic Commitments

How does this service contribute to or align with any of the eight Shared Strategic Commitments (SSC) listed below?

<table>
<thead>
<tr>
<th>Shared Strategic Commitments</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Reinforce academic quality through open-minded inquiry, innovative teaching, engaged learning, and distinguished scholarship</td>
<td>Financial aid regulations require that recipients meet satisfactory academic progress (SAP) standards. As part of our compliance activities, the Financial Aid Office reviews SAP at the end of each term and engages with those students who are in danger of losing their eligibility for financial aid.</td>
</tr>
<tr>
<td>Enhance our inclusive campus, responding to the backgrounds and interests of our diverse community and promoting their academic, professional and personal development</td>
<td>Compliance with financial aid rules and regulations ensures that all students with financial need are treated equally without regard to race, gender, age or religion. This enables students of all backgrounds an opportunity to earn a degree from CSUEB.</td>
</tr>
<tr>
<td>Serve students first, by expanding access and enhancing each student’s educational experience and prospects for success as a graduate and life-long learner</td>
<td></td>
</tr>
<tr>
<td>Foster a vibrant community through enriched student services and student life that support student engagement and learning</td>
<td></td>
</tr>
<tr>
<td>Contribute to a sustainable planet through our academic programs, university operations, and individual behavior</td>
<td></td>
</tr>
<tr>
<td>Continuously improve our efficiency, transparency, and accountability while practicing mutual respect, responsiveness, and collaboration across the University</td>
<td>To ensure compliance with regulations, the Financial Aid Office must collaborate with various constituents within the campus community including Admissions, Records, academic departments, Student Financial Services and Information Technology. This collaboration helps comply with determining eligible students and academic programs, following rules for disbursement of aid, and ensuring our automated processes effectively meet regulatory demands.</td>
</tr>
<tr>
<td>Support the civic, cultural, and economic life of all communities in the regions we serve through partnerships that promote education and social responsibility</td>
<td></td>
</tr>
<tr>
<td>Demonstrate our continuing record of leadership and innovation in higher education, focused on 21st century skills, including science, technology, engineering, and mathematics (STEM)</td>
<td></td>
</tr>
</tbody>
</table>

Link to Scoring Rubric

2.5 How might the demand for this service change over the next five years? (Please choose one category below).

Likely to increase

Provide a rationale for your choice (assumptions, impact of new policy, etc.) in <120 words.

Each year the Financial Aid Office is asked to comply with more and more rules and regulations as Congress and the State Legislature impose more requirements in efforts to increase fiscal responsibility and reduce the opportunity for fraud in their programs while continuing to expand programs for needy families. In the past couple of years we’ve seen more verification
requirements, more reporting requirements, limits on Pell eligibility, limits on subsidized loan eligibility, limits on State University Grant eligibility, changes to Cal Grant awarding, changes to loan fees and interest rates, change to defaulted loan regulations, and the addition of new programs like aid to undocumented students.

5. Quality of Service

Link to Scoring Rubric

3.1 Do you assess the quality of the service you provide?

Yes

If “Yes”, what benchmarks, best practices or measures of success, either internal or external, do you use to measure service quality (e.g., timeliness, accuracy, adequacy, meeting deadlines, satisfactory completion of assignment, etc.)? Please describe in <120 words. If no, please explain.

To ensure we are in compliance, the Financial Aid Office has dozens of discrepancy reports that are produced at regular intervals as well as ad hoc queries to address issues of timely concern. For monitoring fiscal compliance, monthly reconciliations are performed for each of our aid programs such as Direct Loans, Pell Grant and Cal Grant. We also have internal controls to review work done by the staff e.g. rechecking verification and withdrawal calculations. The Financial Aid Office is also subject to annual audits by internal and external entities.

Link to Scoring Rubric

3.2 During the last three years, have you adopted any measures to improve the quality of this service? Please describe in <120 words.

We are constantly creating new reports and enhancing our procedures to ensure we are administering financial aid according to regulation. In the last three years we instituted monthly reconciliation of aid funds and also developed internal controls to make sure that 100% of verification that is being performed by the staff is reviewed by another staff member.

Link to Scoring Rubric

3.3 What idea(s) do you have for improving the quality of this service within existing resources (e.g. development of benchmarks, surveys, feedback, etc.)? Please describe your plan(s) in < 120 words.

Within existing resources, the Financial Aid Office is doing what we can to maintain the accuracy and integrity of our work.

Link to Scoring Rubric

3.4 What ideas do you have for improving the quality of the service if additional resources were provided. Please describe your idea(s) in <120 words.

Ensuring compliance with financial aid rules and regulations takes time, effort and knowledge. With all that needs to be done to deliver financial aid to the student, taking care of compliance issues is often set aside for later or gets done by staff who end up working 10-12 hour days or on weekends. Additional resources would alleviate some of the burden on key staff members and would also allow for more training and knowledge transfer.

Link to Scoring Rubric

3.5 Do you use any formal or informal process to assess the level of satisfaction of the service users?

Yes

If yes, describe the process and most recent results in <120 words. If no, please explain.
Formally, we hear from auditors and program reviewers if we are found to be not in compliance. Informally, we hear from students whose aid we’ve had to reduce or cancel because an issue with their eligibility was just discovered or was previously overlooked.

**Link to Scoring Rubric**

3.6 The university recently conducted a customer satisfaction survey for some services (results for this service are attached, if applicable). Do you have any comment or response to the results? Please describe in <120 words.

Compliance with regulations is more of an internal matter and less a customer satisfaction concern.

**Link to Scoring Rubric**

3.7 Do you have any formal or informal guidelines for personnel in your department regarding how to treat/interact with receivers of this service?

Yes

*If yes, please describe in <120 words. If no, please explain*

Not completely applicable, but when questions arise regarding regulations, we ask staff to direct their questions to the Executive Director or Associate Director. Oftentimes, the issue is not addressed directly in written documentation but requires some interpretation. Asking a designated person or persons helps to maintain consistent treatment for all students in similar situations.

**Link to Scoring Rubric**

3.8 Does your service have annual goals (targets) of achievement regarding the **quality** of the service provided?

Yes

*If yes, describe the annual quality goals (targets) and indicate if the service achieved those goals (targets). Please provide evidence, if possible, in <120 words. If no, please explain.*

Our annual goal is to be 100% compliant with regulations. For our annual reporting to the feds and the Chancellor’s Office most of activity for an aid year is complete by June and must cease by October. All edit and discrepancy reports should have been cleared and internal reviews of staff work should have been completed. Fiscally, we would have reconciled all our funding and completed all our disbursements for the year.

**Link to Scoring Rubric**

3.9 Does your service have annual goals (targets) of achievement regarding the **quantity** of service provided?

Yes

*If yes, describe the annual quantity goals (targets) and indicate if the service achieved those goals (targets). Please provide evidence, if possible, in <120 words. If no, please explain.*

For our second review of verification, our goal is to have reviewed all of the initial verifications by March of the aid year. Since new applications start to arrive in January, we want to get reviews for the current year completed so we can start on the new round of applications.

**6. Efficiency of Service (cost effectiveness)**

**Link to Scoring Rubric**

4.1 Using the spreadsheet provided for all employees in your department, please distribute salaries of individuals across all services provided to reach an educated or reasonable estimate of the cost of providing the service.
Attach your allocated spreadsheet here.

Financial Aid Allocations.xlsx

**Link to Scoring Rubric**

4.2 Using the spreadsheet provided, please distribute your department’s annual operating expenses across all services provided to reach an educated or reasonable estimate of the cost of providing the service.

8940

**Link to Scoring Rubric**

4.3 Using the spreadsheet provided, please distribute the square footage of work space across all services provided to reach an educated or reasonable estimate of the use of this resource.

277

Attach your allocated spreadsheet here.

Financial Aid Allocations.xlsx

**Link to Scoring Rubric**

4.4 During the last three years, have you adopted any measures to improve the **efficiency** (cost effectiveness) of providing this service (e.g. reducing salary costs, operating expenses or use of space, or increased output without increasing cost. Etc.)?

No

If yes, please describe the measures in <120 words. If this is a new service introduced over the past three years, please indicate. If no, please explain.

**Link to Scoring Rubric**

4.5 What idea(s) do you have for improving the **efficiency** (cost effectiveness) of this service **within existing resources** (e.g. restructuring, merging, outsourcing, ways to cut costs, technology, etc.)? Please describe those ideas in <120 words.

The Financial Aid Office is constantly looking for ways to work better and smarter. We use technology as much as possible to streamline work but maintaining compliance still requires manual review and adjustment.

**Link to Scoring Rubric**

4.6 What idea(s) do you have for improving the **efficiency** (cost effectiveness) of the service **if additional resources were provided**. Please describe your idea(s) in <120 words.

Dedicating an additional staff member, which requires an increase in staff, would greatly improve efficiency by relieving overburdened staff.

**Link to Scoring Rubric**

4.7 Do you have any plan(s) to improve the **efficiency** (cost effectiveness) of this service in the next 1-2 years (e.g. reducing costs, increasing productivity, etc.)?

No
If yes, please specify whether these plan(s) involve reducing salary costs, operating expenses and/or use of space. Please describe your plan(s) in <120 words. If no, please explain.

4.8 Please describe the estimated output for this service for fiscal year 2011-12, quantify if possible (e.g. volume, service tickets resolved, people serviced, appointments, etc.) in <120 words.

Reconciled over $88m in federal, state and institutional aid, performed >3600 verifications of FAFSA applications, performed >200 Return of aid calculations for withdrawn students, calculated satisfactory academic progress for 9000+ students , sent notices of required exit counseling, originated 5744 Pell records and 12821 Direct Loan records with feds, reported 18814 Pell and 36070 Direct Loan payments to feds and thousands of Cal Grant payments to CSAC, created transfer monitor and FA history files to monitor aggregate loan and Pell limits, used over 7% of Work Study allocation for community service, maintained security for >four fed/state website including implementation of two factor authentication for federal websites, submitted federal Fiscal Operations Report and Application to Participate (FISAP report) on time.

7. Other

5.1 Are you aware of services similar to this one that are being provided by another department at CSU East Bay?

No

5.2 Is there anything unique or distinctive about your service? Please describe what is unique or distinctive in <120 words.

Requires specialized knowledge and access to financial aid records.

5.3 Are there any additional things about this service that you would like the task group to know? Please describe/explain in <250 words.

Here are some factors that make administering financial aid the intensive job that it is:

Each financial aid program has its own eligibility criteria with varying levels of system support. There are 12-15 programs that require constant monitoring and manual adjustment on a student by student basis.

The FAO has to coordinate all educational resources which the student might receive in additional to award we've awarded. Oftentimes these resources are not revealed in a timely manner e.g. voc rehab, VA benefits, fee waivers, outside scholarships and the student's aid package must be adjusted.

Non-standard term programs, mini-sessions, online education and DCIE degree programs are all circumstances that require exceptional handling and add burden to making sure we're compliant with the regs.

Sometimes our academic policies don't align with financial aid requirements e.g. INC grades impact SAP, repeated courses impacts aid eligibility and SAP, transfer units impacts SAP, prerequisite coursework impacts aid eligibility, etc. which all results in more monitoring by the Financial Aid Office.
Being on the quarter system we often have to do things 4 times a year rather than 2 times. There are more terms for students to change their enrollment, more times a student can change their graduation term, more times a student can withdraw from the term, more terms to monitor for compliance, more terms for fee payment, etc.