

COLLEGE OF ALAMEDA
OFFICE OF THE VICE-PRESIDENT OF STUDENT SERVICES

Memorandum

To: Juan Vazquez, President
From: Kerry Compton, Vice-President of Student Services
Date: December 14, 2001
Re: Summary of Program Review for Financial Aid

Attached is the self-study and the report of the Validation Team of the Program review for the Financial Aid Program, College of Alameda. My summary includes a description of the process, as well as a summary of the findings with my recommendations.

I. All procedures indicated in **Student Services Program Review Guidelines, Spring 2001**, were followed.

A. Stage One – Self-Study

The self-study was completed by the Financial Aid Advisory committee which functioned as the self-study team. The Financial Aid Advisory committee is a standing committee of the college and is composed of faculty, staff, students, and administrators. The Financial Aid Advisory committee/Self-Study team began its work on the report on April 16 and met on September 10, October 22, and November 19, 2001. The program coordinator, Angelita Finlayson; the chair of the Financial Aid Advisory committee, Judy Merrill; and I met with the Validation team on November 19, 2001.

B. State Two – Validation

The Validation Team was selected at the beginning of the program review process. The Validation team was chaired by Dean Brenda Johnson, who was not involved in the self-study and included two classified members of the college, as well as Susan Taylor, Client Relations Manager of EdFund.

The Validation team studied the self-study report, met with the self-study team on November 19, November 27 and December 3, 2001 and examined the facilities used for the program. Because of lack of time, the validation team did not interview a representative sampling of faculty, staff and students and did not administer a student survey. During the initial discussion between the Validation Team and the Self-Study team, the Validation team expressed that the self-study report lacked adequate analysis of the data presented by the Office of Institutional Research. This was corrected and the final self-study includes an analysis of data.

The team provided a written report of findings and recommendations to the self-study team on December 10, 2001.

The chair of the self-study team and the program coordinator corrected and/or expanded on areas as designated by the validation team.

C. Stage three – Discussion with Vice-President of Student Services and Program Review Report to the college President.

The final report was submitted to me on December 13, 2001. I had earlier met with the validation team, on December 3, 2001, and was aware of the recommendations.

II. A Summary of Recommendations

The Validation Team agreed with the three major recommendations of the self-study:

Additional Staffing:

The self-study report, the college Educational Facilities Master Plan, and the Houston Report indicate a need for increased staffing for the Financial Aid office (although the numbers vary from report to report). Federal regulations require that an institution demonstrate administrative capability (Student Financial Aid Information for Financial aid Professionals, U.S. Department of Education, section 41, Chapter 3 Administrative Capability) in staffing, but is not specific about the ratio of staff to students. Clearly three permanent staff are inadequate. One of these positions is unfilled, and, as a consequence, the staff are overworked significantly. Although College of Alameda has a different staffing pattern from the other three Peralta Colleges, my recommendation is to address the staffing problem district-wide, since it is a problem at the other three colleges as well.

Improved Facilities:

During the academic year 2002-2003 the west wing of the A building, which houses financial aid, will be remodeled. Privacy for the staff and computer access for the students will be included. Key to planning the project will be to plan for growth in staffing and technological developments for the financial aid system.

Improved Access to Technology:

Access to technology is essential to the Financial Aid department, not only to communicate with the Department of Education to deliver basic services, but also to compete with institutions that have increased customer service through technology. The recommendations of the self-study committee are modest, i.e., that each staff person be equipped with a computer that meets the Department of Education specifications and that self service computers be available for students. The self-study does not emphasize that the technological support provided through the administrative services at the college does not meet the needs of financial aid either because of lack of time, interest, or expertise. I recommend that technology support be provided by the Instructional Computing Department. For the future, Financial Aid needs to be able to take advantage of web-based technology that will enable students to access their files on a 24/7 basis and will limit the need for physical storage of applications and documents. New technology will transform the current system which is simply a mechanism for processing student aid into a tool that increases the quality of student services without significant staff increases. An excellent monograph by the National Association of Student Financial Aid Administrators (www.nasfaa.org) outlines guidelines to be followed by Financial Aid offices when changing to new technology.

In summary, the Program Review process provided the college with an excellent opportunity of building on the Houston report to provide a complete picture of the current status of the Financial Aid office at College of Alameda. Financial aid has migrated from a categorically funded special program to a core enrollment management strategy, that is, a strategy to aid in the recruitment and retention of new students. The data supports its key role in assisting the institution in meeting its enrollment goals and the learning outcomes of the students. However, because we are one of four colleges within a district, financial aid must be viewed as a system that is part of a network. The recommendations of the Student Success Project are relevant here, as these recommendations emphasize the need to move the system forward technologically.

I wish to particularly commend the hard work of Angelita Finlayson, Financial Aid Supervisor, and Judy Merrill, Chair of the Financial Aid Advisory Committee for their diligence in preparing the self-study report and assisting me in completing the program review process.

cc: Bob Grill, Academic Senate President
Judy Merrill, Chair, Financial Aid Advisory Committee
Brenda Johnson, Chair, Validation Committee
Angelita M. Finlayson, Financial Aid Supervisor

PERALTA COMMUNITY COLLEGE DISTRICT

Student Services Program Review Format

College of Alameda

December 10, 2001

Title of Program **Financial Aid Validation – Team Report**

Self-Study Committee Members:

Committee Chair:

Validation Committee Members: Adela Ybarra
Susan Taylor
Amber Sanner
Ron Youngquist

Committee Chair: Brenda Johnson

Overall Description and Assessment of the Program

The self-study shall begin with the College's Mission Statement and Institutional Goals and Priorities. This is followed with a short description of the Program, a general statement of the primary goals and objectives of the program, any unique characteristics, concerns or trends affecting the program, and any significant changes or needs anticipated in the next three years. Please include the number of students served. Remember that this is a broad, general assessment versus the more detailed responses and recommendations for both long term and short term covered in the questions below. (Depending upon the program, some of this information may be found in your College Educational Plans.)

- A. Briefly describe the student Services program under review
1. Include your mission/philosophy statement & goals.
 2. Attach an organization chart with staffing FTE.
 3. List types of services and/or awards offered.

Comments:

1. **The Colleges mission, institutional goals, and priorities were clearly stated. The validation team found that the description of College of Alameda's Financial Aid program was clearly apparent and that an analysis which responded to goals, objectives, unique characteristics, concerns or trends affecting the program was included.**
2. **The organizational chart indicated current staffing of the department.**
3. **Available state, federal, and institutional Financial Aid programs were summarized in the report. Also of note, the Financial Aid program institutionalizes funding policies and procedures to ensure compliance with all regulatory requirements.**

- B. Indicate the number of students served the past four years, & evaluate the program to determine whether it has met its 1999-2000 goals and objectives
1. State each goal and objective & briefly state whether they were met.
 2. Present one separate section on student outcomes.
 3. State how your program is making a difference for students.

Comments:

1. **The supporting objectives of the 1999-2000 program goal were expansive and included information relevant to state and federal compliancy, accessibility to the college community, implementation of a default management plan, community participation, and the administration of on-campus student employment.**
2. **The report specified student outcomes by indicating approximate number of aid applications processes compared with the total number of students enrolled in credit courses, and the amount of awards annually from Pell, FSEOG, FWS, FFEL and Cal Grant B and C. Moreover, there was an analysis of the BOGW fee waiver program. The Validation team found this information exceptionally informative based on the PCCD Student Demographics Statistic Fall 2001.**
3. **There was a descriptive analysis of data provided to validate**

whether the program is making a difference for students who answered yes to Peralta Community College District Admissions application question 23A and 23B.

- C. Administer and analyze a student survey & recommend changes
1. Summarize survey results with recommendations & supporting evidences.
 2. If evaluations have been made by outside agencies, summarize their findings in no more than one page.

Comments:

1. **The District Office of Institutional Research did not produce a student survey in time for the self study process, nor was a survey administered by the Validation team. Plans are in place, however, to administer a survey in the near future.**
2. **The Self Study report included workshop evaluations from a variety of audiences including high school students, prospective students, parents, high school counselors and college staff. The Validation Team noted that all respondents rated the workshops good to excellent with the majority being excellent.**

- D. Describe your Staffing, Facilities, Equipment and Financial Aid Process
1. Discuss whether these were adequate to meet the program's goals and expectations.
 2. Indicate how staff kept up-to-date with federal, state, and local rules and regulations.
 3. Describe the disbursement process including turnaround time for receiving aid.

Comments:

1. **The Validation Committee strongly agreed that additional staffing is needed if the program is to improve customer service. Current Staff are forced to work excessive hours including evenings and weekends to insure that all students are served expeditiously.**

The report also indicated that the program is sorely in need of additional office space. A visual observation by the team strongly validated this finding as well as information detailed in the Houston Executive Summary. The team observed that it was nearly impossible to accommodate long lines of students, staff were forced to discuss confidential matters with students in the open and confidential files were not kept in a secured area.

Also, the report suggests a need for upgraded financial aid computers. Specifically, effective January 1, 2002, all computers must be upgraded in order to access vital programmatic information. In response, several

computers were purchased over a year ago but have not been installed due to limited technological support. Support for administrative technology services is sorely needed if the program is to remain in compliance.

2. **The Self Study report includes information as to how staff are kept up to date with federal, state, and local rules and regulations.**
3. **The process of awarding aid was clearly indicated, as was the deadline for certain types of aid.**

E. Describe any external factors such as state laws, changing demographics and funding that impacted the program.

1. List all external agencies with which you deal.
2. Attach any reports you have from external agencies.

Comments:

1. **The Validation team verified the list of external agencies that interface with the department. The team recommended that the source of this information pertaining to changing demographics and enrollment increases be included in the report. It is also recommended that funding constraints in hiring additional staff be included in this section.**
2. **Department reports from external agencies included in Self Study report.**

F. Analyze and describe the impact your program has had on the following indicators

1. Access. Is the ethnic breakdown of students you serve disproportionate to the general college ethnic distribution?
2. Successful Course Completion. Does your program have any impact on student course completion rates?
3. Retention. Does your program have any impact on student retention rates?
4. Persistence. Does your program have any impact on student persistence rates?

Comments:

1. **It was difficult for the team to validate data included in this section. A more descriptive analysis of data is needed. A review of the Peralta Community College District Program Review Fall 2000, however, validated most of the percentages contained in this section.**
2. **The committee validated the definition of successful course completion as described in the Self Study, by referring to Peralta Facts 2000. The report referred to information contained in the PCCD Financial Aid Data, Spring**

2001 as evidence that receiving aid dramatically contributed to Student Success.

3. **The data indicates that financial aid significantly contributes to retention.**
4. **The data indicates that financial aid significantly contributes to student persistence.**

G. Describe your funding situation

1. Indicate your funding sources and the amounts in your major budget categories.
2. Indicate what your total funding from all sources has been for the last four years.
3. Indicate all activities of seeking financial aid funding from all available sources.

Comments:

1. **The team validated administrative funding sources and amounts in major budget categories.**
2. **Total program funding and sources from the last four years indicated in the report.**
3. **Other activities of seeking aid such as community contacts, private scholarships and FAFSA application completion were included.**

H. List in priority order the major problems or challenge the program currently faces and your recommendations to solve these.

Comments:

1. **The validation committee strongly concurs with the priority list of problems and challenges referenced in the Houston Executive Summary. With increased workloads, higher student demands, and program goals and expectations, it is imperative that additional staff is hired as soon as possible. The Validation team commends the staff for providing such outstanding service to students despite lack of support.**
2. **The Financial Aid Office's space is also extremely inadequate given the number of students served and staffing needs. The lack of a confidential workspace and file room projects a "non-business" image. The Validation team recommends that the program be given priority when considering new office space in the student services department.**

3. Lastly, the Validation team noted the Department of Education's January 1, 2002 implementation of required computer specifications. Given limited technical support, it is difficult for the department to maintain compliance. Eight computers were purchased for the department over a year ago and are just now being installed. The validation team urges the college to provide better, more consistent technical support to the department so that appropriate customer service is provided.

- I. Review the college's latest Accreditation Self-Study Report (or mid-term or focus report which ever is latest)
1. Individually list each item that relates to your program.
 2. Indicate how your program is addressing each one of these items.

Comments:

The committee noted adequate review of the colleges latest Accreditation Report.

PERALTA COMMUNITY COLLEGE DISTRICT
Student Services Program Review



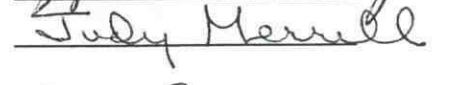
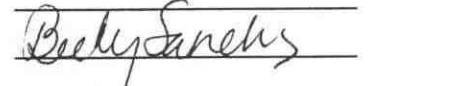

College of Alameda

Date: September 2001

Title of Program: Financial Aid

Self-Study Committee Members:

Sherry Anderson
Hector Corrales
Angelita M. Finlayson
Judy Merrill
Galilee K. Newsome
Becky Sanchez
Sherrone Smith


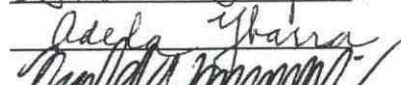

Committee Chair:

Dr. Kerry Compton



Validation Committee Members:

Amber Sanner
Susan Taylor
Adela Ybarra
Ron Younquist

Committee Chair:

Brenda Johnson



INTRODUCTION

On February 5th, 2001, the Financial Aid Advisory Committee discussed the Self-Study Student Services Program Review. The Program Review started by reviewing the purpose of the Program Review, Process, Guidelines, and Data provided by the Office of the Senior Vice Chancellor's Educational Services.

The Financial Aid Advisory Committee adopted the suggested review format. Therefore, this Self-Study will begin with the overall description and assessment of the program, a brief description of the financial aid office, the mission statement, and a brief description of the current status. The Committee will then discuss the types and numbers of students served during the past four years and how the financial aid program has affected these students. The staffing and process will be discussed as well as the external factors that impacted our program. Findings and recommendations of the *Houston Report* will be presented in various sections of this Self-Study. This Committee highly recommends reviewing the *Houston Report* in its entirety.

Finally, we will discuss the funding sources; our success vis a vis access; course completion, retention and persistence; the major problems the Financial Aid Office currently faces; and our recommendations to resolve these.

In addition, we would like to note problems related to the District level's handling of the Student Survey developed on April 16, 2001, by this committee. Their lack of follow through prevented the survey's distribution in time for students' valued comments to be part of this report. The current plan is for the survey to be distributed by the middle of spring semester.

OVERALL DESCRIPTION AND ASSESSMENT OF THE PROGRAM:¹

MISSION

College of Alameda's mission is to meet the educational needs of its community by providing comprehensive and flexible programs which will enable students to transfer to four-year institutions, to earn degrees and certificates in selected academic and occupational fields, to prepare positions in the workforce, to improve their basic learning skills, and to expand their general knowledge.

INSTITUTIONAL GOALS

College of Alameda seeks to carry out its mission by providing:

- **Appropriate allocation of resources** in order to provide comprehensive, up-to-date instruction in academic and vocational subject areas and to demonstrate responsible stewardship of public funds.
- **General Education**, emphasizing learning experiences that help students gain knowledge, achieve skills and develop appreciations, attitudes and values necessary for an effective, well-balanced life in a democratic society.
- **Lower Division Education**, offering courses, which permit students to complete the first two years of a four-year college or university study program.
- **Vocational Education**, including courses designed to prepare students for employment, as well as to upgrade the skills and knowledge of those already working in skilled, technical, business and service occupations.
- **Learning Assistance and Basic Skills programs**, providing opportunities for students to improve their reading, writing, computation and study skills.
- **Programs and Services for Student with Disabilities**, including special course offering, support services and adaptive equipment.
- **Cooperative Work Experience Education** offers career exploration and advancement through realistic work experience.
- **Pre-enrollment Student Assessment and Evaluation**, designed to assist students select courses in which they have maximum chance of success.

¹ College of Alameda Catalog, 2001-2003, p.8

- **Counseling and Guidance Services**, offering personal, educational and vocational counseling using professional student personnel skills and tools. These services are designed to assist each student with self appraisal, planning an educational/occupational program suited to his/her needs, obtaining a job or seeking further education elsewhere.
- **Financial Aid Program**, which gives advice and financial assistance to students who, without such aid, would be unable to attend College of Alameda.
- **Adult Education**, including extensive opportunities for adults to enroll in college classes, as well as to participate in varied fine arts activities. It is responsive to the interests of special groups, such as senior citizens, reentry students, displaced homemakers and other individuals facing changes in their lives.
- **Student Activities** provide student with experiences, which have educational value for them as individuals in their social relationships and in the exercise of their responsibilities as citizens.
- **Professional Development of Staff**, including activities designed to enable our administrators, faculty and support staff to be sensitive to changing educational needs of society, and to alert them to new techniques of management and instruction.

DESCRIPTION OF FINANCIAL AID PROGRAM

A1: MISSION STATEMENT AND GOALS:²

College of Alameda participates in federal, state and institutional financial aid programs in order to provide its students with financial access to post-secondary education. Each program has specific administrative and management requirements that necessitate the development of institutional policies and procedures to ensure compliance with regulatory requirements, to facilitate consistency of treatment among classes of students, and to enhance the timely and efficient delivery of aid to students.

² Financial Aid Policies and Procedural Manual, 2001

The primary purpose of student financial aid is to ensure all students have an opportunity to obtain a college education, and that no student will be denied that opportunity because of lack of funds. Most financial aid is awarded to students based on how much money is needed to meet college costs. Therefore, the financial aid application process is set up to uniformly measure how much financial assistance each individual student needs for college based on the individual circumstances of the student and the student's family.

Central to the purpose of financial aid is the belief that students and their families, to the extent possible, have the primary responsibility to pay for the student's college education. Financial aid is made available to assist students when family resources are not sufficient to meet college costs.

The purpose of financial aid at the College of Alameda in the Peralta Community College District is to assist students who have the ability to benefit from the post-secondary educational opportunities those colleges provide but who have limited resources, by providing the funding to support completion of the student's educational goal.

The purpose is also to provide fair and equitable treatment of all students by applying policies and the process of determining eligibility consistently. Further, the goal of the Financial Aid Office is to provide funding through grants, loans, work-study, and scholarships to enable students to obtain a degree, certificate, or transfer to a four-year college. In addition, the Financial Aid Office did the following:

- Set up Financial Aid Web Station for students to enter FAFSA applications on-line.
- Actively participate in local high school recruitment activities (Project Access)
- Work with local elementary and middle schools to place Federal Work-Study students in tutoring positions (America Reads)
- Implement Master Promissory Note for Stafford Loans.

- Update and revise Policy and Procedures Manual
- Update the Federal Work Study Program Student's Handbook
- Provide information to the Federal Work Study Supervisor's Handbook
- Increase communication with college community, district office, high schools and other community.

The result of the successful implementation of all the above is a higher proportion of students on financial aid making satisfactory progress, student retention, student persistence, and completion rates.

A2: ORGANIZATION CHART

**COLLEGE OF ALAMEDA
FINANCIAL AID OFFICE**

ORGANIZATIONAL CHART

**Board of Trustees Board of Trustees
Chancellor: Ron Temple**

President: Juan Vazquez

Vice President of Student Services: Kerry Compton

Financial Aid Supervisor: 1.0 Angelita M. Finlayson

Financial Aid Assistant: 1.0 Lan Pham

Senior Clerical Assistant: 1.0 (vacant)

Clerical Assistant: (hourly) 1.5

Student Assistants (FWS) 3 @ 20 hours/each

A3: TYPES OF SERVICES AND AWARDS OFFERED

College of Alameda participates in federal, state and institutional financial aid programs in order to provide its students with financial access to post-secondary education. The Financial Aid administers the following Federal Pell Grant (FPELL); Federal Supplemental Education Opportunity Grant (FSEOG); Federal College Work Study (FCWS); Federal Family Educational Loans (FFELP), which includes Subsidized and Unsubsidized Stafford Loans.

The State of California offers a Board of Governor's Enrollment Fee Waiver (BOGW); Cal Grant B and C; Extended Opportunity Programs and Services (EOP&S); Bureau of Indian Affairs (BIA) Scholarships are also available from local and business organizations, community and service organizations, employees, and any number of other sources; and an institutional emergency loan program.

Each program has specific administrative and management requirements that necessitate the development of institutional policies and procedures to ensure compliance with regulatory requirements, to facilitate the treatment of students, and to enhance the timely and efficient delivery of aid to students.

College of Alameda was approved for participation in the Title IV student assistance program in the mid-1970s. The College originally participated in the Perkins (NDSL) program but ceased participation and currently provides only collection activity support. Initially the College also participated in the Supplemental Loan Program (SLP), but also ceased participation in the mid-1980s.

College of Alameda carries out the mandate of the Peralta Community College District Board of Trustees to make financial aid available, without discrimination, to the students at College of Alameda and the Peralta Community College District. To support this mandate, the Board provides for a staffed Financial Aid Office and the resources to ensure assistance to students in the financial aid application process and in the accounting for and reporting to expenditures. A District Office is also maintained to support those

functions. With respect to the direct administration of the financial aid programs, federal policies supersede state and local policy.

Non-routine operational decisions relating to the administration of the financial aid programs are made by the Supervisor in consultation with the Vice President of Student Services, the Financial Aid Advisory Committee, the Financial Aid Staff, and other departments and agencies, as appropriate. The Supervisor performs development of routine internal operating policies and procedures. The Supervisor also coordinates district-wide policies with the Supervisors from the other district colleges. The Associate Vice-Chancellor convenes the Financial Aid Supervisors to discuss district-wide coordination.

College of Alameda provides a number of informational services to assist students in making application for financial aid at the College. The Financial Aid Office is involved in presenting application workshops at local high schools as well as on-campus orientations for new, continuing and transfer students. In addition, application materials and instructions are made available at appropriate application times, and students are informed of application deadlines through posted and mailed instructional flyers informing them when and how to apply and how to complete their applications. Bilingual staff is available on a drop-in or on an appointment basis to answer student and parent questions about the application process.

Even though the Financial Aid Office has only 2 permanent staff members, this does not prevent the office from providing excellent service to our students. Students who apply for financial aid are informed of the various programs available, eligibility requirements, and application procedures in a face-to-face conference with the Financial Aid Supervisor, the Financial Aid Staff Assistant, or the temporary staff available. Students receive assistance in completing the FAFSA, which is then subsequently transmitted electronically to the Federal Processing Center. Upon receiving the response back from the Federal Processing Center, each eligible student is awarded financial aid and financial aid disbursement is then ordered. The average turn-around time from

application completion to check disbursement is approximately ten business days. This compares very favorably to other facilities whose turn-around time averages 4 – 12 weeks.

In addition to in-house efforts, the Financial Aid Office actively participates in local high school recruitment activities (Project Access), and works with local elementary and middle schools to place Federal Work-Study students in tutoring positions (America Reads). Doing this requires a tremendous stretch for current staff.

B: NUMBER OF STUDENTS SERVED THE PAST FOUR YEARS ³

1996 /1997 ACADEMIC YEAR (appendix 1,2,3,4)

Fund	Financial Aid Recipients	Awarded Amount
BOGW Fee WaiverProgram	3,315	\$ 460,434.00
Pell Grant	1,012	\$ 1,544,944.00
SEOG	610	\$ 197,460.00
Federal Work Study	80	\$ 138,291.53
Cal Grant B	116	\$ 137,758.00
Cal Grant C	2	\$ 795.00
EOP Cash Grants	433	\$ 30,000.00
Stafford Loan (Subsidized)	7	\$ 14,427.00
Stafford Loan Unsubsidized	0	\$ -
Americorps	1	\$ 1,438.00
BIA (Indian Affairs Grants)	0	\$ -
CWWS	0	\$ -
Private Scholarships	3	\$ 7,587.50
CARE	14	\$ 3,889.00
Total	5,593	\$ 2,537,024.03

1997/1998 ACADEMIC YEAR

Fund	Financial Aid Recipients	Awarded Amount
BOGW Fee WaiverProgram	3,414	\$ 469,768.00
Pell Grant	975	\$ 1,666,294.00
SEOG	560	\$ 204,597.00
Federal Work Study	90	\$ 140,517.23
Cal Grant B	9	\$ 115,610.00
Cal Grant C	1	\$ 530.00
EOP Cash Grants	436	\$ 62,595.09
Stafford Loan (Subsidized)	6	\$ 11,352.50
Stafford Loan Unsubsidized	12	\$ 24,006.37
Americorps	5	\$ 11,352.50
CWWS	0	\$ -
Private Scholarships	8	\$ 20,972.00
Total	5,516	\$ 2,727,594.69

³ Board Financial Aid Assistance Program Administrative Allowance Expenditure Report, 1996-1997, 1997-1998, 1998-1999, 1999-2000

1998/1999 ACADEMIC YEAR

<u>Fund</u>	<u>Financial Aid Recipients</u>		<u>Awarded Amount</u>
BOGW Fee WaiverProgram	2,808	\$	347,664.00
Pell Grant	998	\$	1,957,192.00
SEOG	576	\$	210,976.00
Federal Work Study	109	\$	145,817.00
Cal Grant B	98	\$	115,616.00
Cal Grant C	3	\$	1,825.00
EOP Cash Grants	503	\$	69,795.00
Stafford Loan (Subsidized)	14	\$	30,536.00
Stafford Loan Unsubsidized	0	\$	-
Americorps	0	\$	-
BIA (Indian Affairs Grants)	0	\$	-
CWWS	0	\$	-
Private Scholarships	11	\$	18,808.00
Total	5,120	\$	2,898,229.00

1999/2000 ACADEMIC YEAR

<u>Fund</u>	<u>Financial Aid Recipients</u>		<u>Awarded Amount</u>
BOGW Fee WaiverProgram	3,320	\$	385,565.00
Pell Grant	929	\$	1,852,319.00
SEOG	641	\$	240,970.00
Federal Work Study	99	\$	146,133.00
Cal Grant B	103	\$	125,297.00
Cal Grant C	12	\$	5,565.00
EOP Cash Grants	557	\$	29,989.00
Stafford Loan (Subsidized)	9	\$	25,201.00
Stafford Loan Unsubsidized	2	\$	6,600.00
Americorps	0	\$	-
CWWS	51	\$	65,129.82
Private Scholarships	9	\$	7,899.98
CARE	43	\$	27,748.08
SEOG	30	\$	3,000.00
Total	5,805	\$	2,921,416.88

B1: STATE EACH GOAL AND OBJECTIVE AND BRIEFLY STATE WHETHER THEY WERE MET

GOAL:

The Financial Aid Office at College of Alameda was established to coordinate all federal and state financial assistance offered by the college, and to ensure that the established principles and regulations governing student financial aid are observed in administering the student aid programs. The central purpose of financial aid is the belief that students and their families, to the extent possible, have the primary responsibility to pay for the student's college education. Financial aid is made to assist students when family resources are not sufficient to meet college goal in a way which provides fair and equitable treatment to all students by applying policies and the process of determining eligibility consistently.

Therefore, in addition to provide funding through grants, loans, work-study, and scholarships to enable students to obtain a degree, certificate, or transfer to a four-year college, the following objectives were included in order to meet the set goals:

OBJECTIVE 1: Comply with State and Federal laws:

The Financial Aid Office adheres to the principles and practices as prescribed by the U.S. Department of Education and the California Student Aid Commission in determining eligibility for federal and state aid programs, and accepts the following responsibilities in the delivery of student aid:

- To publicize the availability of financial aid;
- To assist students and families with the application process;
- To process applications, determine eligibility and make awards;
- To accurately report expenditures and eligibility statistics to the governmental agencies which provide funding; and
- To monitor students continued eligibility for the financial aid they receive.

OBJECTIVE 2: Be accessible to the college community:

During office hours, student may come to the Financial Aid Office for drop-in counter services. Students and parents may also schedule appointments with the supervisor to discuss their aid and other related problems. During the academic year, the Financial Aid Office staff schedules a series of Financial Aid Application Assistance workshops for students. In addition, workshops are provided to the local high school students, faculty, counselors and administrators. The diversity of the staff enables the Financial Aid Office to offer student information and assistance in Spanish, Vietnamese, and Chinese (Mandarin and Cantonese).

OBJECTIVE 3: Maintain low default rate:

For the last five years, the official cohort default rate for the college has been below 12%. This office will continue to implement the default management plan by conducting prevention workshops, entrance and exit interviews, and delayed certification for 30 days for first-time borrowers.

OBJECTIVE 4: Participate in the community:

The College is currently participating in the American Reads Program, which involves off-campus placement of college-work study students as tutors in reading and math in certain Alameda Unified School District elementary schools.

OBJECTIVE 5: Administer Student Placement:

For the last four years the Financial Aid Office has handled the paperwork for all College of Alameda federal work-study students who need on-campus placement as well as the paperwork needed for all student assistants employed on campus. Annually, the college processes documentation for approximately 1,273 duplicated students employed on campus, 99 federal work-study students and 10 off-campus students for the America Reads Program

There is a need for more central and efficient communication between managers, supervisors, students and financial aid staff. Currently the Business Office staff

processes all time sheets on campus. However, the Financial Aid Office strongly recommends that all student time sheets be the responsibility of the financial aid staff, which will present the full cycle of services for our student employees and will bring better communication within the college community. In addition, computers and space are needed for student use since most future financial aid transactions will be via Internet.

B2:⁴ STUDENT OUTCOMES

Currently, the college processes applications for approximately 2,870 students annually, or roughly 55% of its 5,214 students enrolled in credit courses, and awards close to \$ 2,252,467.00 annually for the Federal Pell Grant, FSEOG, FWS, FFEL, Cal Grant B and C. Additionally, the Financial Aid Office makes over 3,330 awards from the BOGW fee waiver program and is administratively responsible for in excess of \$ 538,764.00 in total student assistance from all sources, serving a population of 32% Asian, 25% African American, 18% White, 11% Hispanic, 5% Filipino, 1% Native American, and 8% others.

⁴ PCCD Student Demographic Statistics F01, 09/22/01

B3: HOW THE PROGRAM IS MAKING A DIFFERENCE FOR STUDENTS:⁵

The Office of Institutional Development on October 18, 2001 submitted the following study.

College of Alameda
Financial Aid Service Needs from Question 23 on the Student Application
Fall Terms- 1996 Through 1999

Question 23 A: Do you need financial help to attend college?

Service Need A	Yes
----------------	-----

Matric Status	F96	F97	F98	F99
Matric	924	732	1,157	2,368
Exempt	219	198	274	339
X	1			1
Grand Total	1,144	930	1,431	2,708

Question 23 B: Do you need financial assistance because your annual income is below \$7,500 for single persons or \$15,000 per couple (add \$1,000 for each dependent child)?

Service Need B	Yes
----------------	-----

Matric Status	F96	F97	F98	F99
Matric	1,822	1,852	1,946	1,802
Exempt	188	219	262	244
Grand Total	2,010	2,071	2,208	2,046

Numbers Who Answered Yes to Either Question 23 A or B

Service Need A/B	Yes
------------------	-----

Matric Status	F96	F97	F98	F99
Matric	2,068	2,046	2,291	2,643
Exempt	271	289	361	384
X	1			1
Grand Total	2,340	2,335	2,652	3,028

Numbers Who Answered Yes to Question 23A Only, 23B Only, or Both

Service Need	F96	F97	F98	F99
A Only	330	282	444	982
B Only	1,196	1,423	1,221	320
Both A&B	814	648	987	1,726
Grand Total	2,340	2,353	2,652	3,028

X – unspecified matriculation status.

The above chart clearly indicates that there is a greater number of students in need of financial assistance.

According to the charts on pg 11 & 12, the College of Alameda Financial Aid Office served a total of 22,034 financial aid recipients receiving a single grant or several federal and state grants, loans and/or scholarships. A total of \$11,084,264.00 was administered to our financial aid recipients.

⁵ The Peralta Community Colleges Admission Application, p.2

C: ADMINISTER AND ANALYZE A STUDENT SURVEY AND RECOMMEND CHANGES

Student enrollment in fall 1999 was 4,969. There was an unduplicated count for Board of Governor's Fee Waivers awarded for 1999/2000 of 3,320. Total unduplicated Pell Grants for 1999/2000 was 929. The Financial Aid Office is reaching more Board of Governor's Waiver applicants, but the number of Pell Grants has been declining. This has been attributed to student resistance to filing the FAFSA application. While the Financial Aid Office does conduct several Financial Aid Workshops and attend High School orientation nights, and actively participates in the local high school recruitment activities, Project Access, there is a greater need to inform and instruct students and parents about the opportunities available through Federal and State Financial Aid, and offer accessibility to apply for Financial Aid on-line.

Additional support from District Data Center in programming reports to identify eligible students who have not completed the financial aid process is necessary. There is currently a report that will identify students who are in the Financial Aid SAFE system, but have not been awarded.

Additional programming is necessary to pinpoint reject factors, Pell eligible students, non-residents, students in default, and a number of other relevant categories, so students can receive appropriate contact letters and counseling.

In February 2001, Houston Executive Services submitted the findings⁶ of a study conducted with all Peralta Colleges Financial Aid Offices. During the summer of 2000, the Houston Team interviewed Financial Aid Supervisors, staff, District Personnel Office, Student Service Deans, Business Services and conducted focus groups with students to assess Financial Aid services, technology, staffing and customer services. The following items were noted as pertinent to College of Alameda in the summary of findings in the Houston Report:

⁶ Houston Executive Services/Consultant's Report, February 2000, p. 4-7.

- ✓ “Financial Aid Supervisors, though well experienced and share the same responsibilities as their peers, rank lower than their peers in title and authority. Their limited authority has resulted in a perceived lack of respect by other departments.
- ✓ There is an over dependency and mis-deployment of temporary and student workers. Their lack of experience and training has contributed to a large degree in the poor customer service student applicants have received.
- ✓ There is no formalized professional development program for financial aid staff even though it is mandated as part of the Peralta Community College District Management plan. There is little incentive for employees to develop themselves professionally. This contributes to poor customer service and has slowed the development of new skills.
- ✓ The Personnel Office is perceived as an “island unto itself” rather than a partner with the four colleges. The lack of partnering with the financial aid offices has contributed to an underdeveloped staff, and a recruiting process that is not sensitive to the needs of the financial aid office.
- ✓ There is a perception of poor quality of service by the applicants of financial aid. Their issues with the financial aid office range from unqualified staff counseling students, giving misinformation, to a lack of a confidential area when they can discuss confidential information with their counselors.
- ✓ There is limited support from Data Processing/Information Technology. There is only one person on each campus to assist in administrative computing and one person at the District to assist all four financial aid offices. This lack of support has resulted in resolution of issues being delayed.
- ✓ The financial aid processing time differs greatly among the four offices. The processing time ranges from 2-12 weeks at one school to 1-7 days at another. This has resulted in a great disparity in service between colleges.
- ✓ The check disbursement processes and schedules are significant different between the four colleges.
- ✓ The Business Office nor the Admission Office understands the relationships between their office(s) and the Financial Aid Office. This lack of understanding

has contributed to a miscommunication between the offices and poor service to the student.

In order to address the above findings, we recommend a change in the structure of the financial aid office, with the creation of a Centralized Financial Aid District Office. This would include changes to the financial aid process and increased use of technology. Additionally, we recommend the development of a formal staff development program, a re-direction of the use of staff and adoption of customer service as a key core value. Specifically:

- Rewrite and upgrade the position of Financial Aid Supervisor to Director of Financial Aid to reflect their level of responsibility.
- Change the use of temporary and student workers to reflect their qualifications and training.
- Develop a formalized professional development program for financial aid staff. The lack of training and development, although a part of Peralta's Management Plan, has contributed to the low level of customer service, and inequitable burden on the Financial Aid Supervisor. Customer Service and Diversity training should be ongoing for financial aid staff.
- Develop a more efficient working relationship between the four colleges and the Personnel Office. The colleges should be construed and treated as internal customers of the Personnel Office. The current process is not adequate in meeting the timely needs of the financial aid office. For recruitment related to the financial office, it should be mandatory, not arbitrary, for the Financial Aid Supervisor (Directors) to participate.
- Adopt customer service as a core value for PCCCD. As a belief system that influences employee behavior and work habits, this would reflect a higher level of customer service to students. This would have to be initiated and accepted by senior management. This core value would include internal customers, staff members of PCCCD, as well as external customers, which would be the students.
- Give students the convenience and good customer service they expect. With the choices they have today, poor customer service can result in their

decision to select another institution for their education. It is no longer an option to have good customer service, it is necessary.

- Supply all financial aid offices with the same level of high quality. PCs and required support from Data processing so that the same level of service can be provided to students across the District. The financial aid process is becoming more automated and therefore needs to have reliable PCs and DP support. As the technological trend continues, more technological resources will be needed so that financial aid can be enabled to perform its role.

Without this, the quality of service will suffer.

- Create a centralized financial aid process in order to address the inconsistencies in the current financial aid process. Under a centralized model, many processing functions, such as Pell originations, loan certifications, etc, could be done at the District Financial Aid Office for all four colleges. This would have the effect of taking advantage of economies of scale, reduce work redundancy and allow financial aid administrators to perform more consultative counseling instead of reacting to problems and student complaints.”⁷

⁷ Ibid p. 4-7

DRAFT

C1: FINANCIAL AID STUDENT SURVEY

The Financial Aid Advisory Committee developed the following College of Alameda Financial Aid Survey on Monday, April 16, 2001.

College Of Alameda Financial Aid Survey

1. I get my financial aid information mostly from:
 - Bulletin boards
 - Friends
 - Classroom Teachers
 - Counselors
 - Financial Aid Staff
 - Other groups on campus
 - Other
2. The Financial Aid Office keeps students informed about the different kinds of financial aid available.
3. The Financial Aid Office at College of Alameda had available and provided me with clear information about the following:
 - Application Procedure
 - Deadlines
 - Satisfactory Academic Progress
 - Probation
 - Disqualification
 - Work Study
 - Loan and Repayment plans
4. If I was confused or had a question about any of the financial aid forms or process, I was able to get help from the Financial Aid Office.
5. I understand my responsibilities for satisfactory academic progress.

6. My application was handled efficiently. I received my award letter in a timely manner.
7. Once I received my award letter, I received my 1st payment in:
 - 1-7 days
 - 8-14 days
 - 15-30 days
 - Other
8. The staff at the Financial Aid counter could answer my questions.
9. I received consistent information from all the Financial Aid staff.
10. I have experienced courteous and professional behavior from the Financial Aid staff.
11. I seldom must wait long to talk with the Financial Aid Supervisor.
12. I am sure that my financial aid records are kept strictly confidential.
13. The Financial Aid Office is providing fair and equitable treatment to all students
14. If I needed special assistance due to a disability, I was accommodated.
15. The Financial Aid Office is open hours that are convenient for me.
16. I found the Financial Aid location convenient.
17. The primary reason I chose to attend College of Alameda was the financial aid available to me.
18. I could not have attended College of Alameda without the financial aid I receive.

Comments: If you wish to make any comments or suggestions concerning Financial Aid at College of Alameda, please write them on the lines below.

C2: FINANCIAL AID WORKSHOPS EVALUATION FORM

1. Which category most accurately describes you best?

- Faculty Staff Student Other

2. Please rate the overall effectiveness of the workshop:

- 5 = Excellent 4 = Very Good 3 = Good 2 = Fair 1 = Poor

3. Did the workshop meet your expectations?

- Yes No

Comments: _____

4. Please rate the effectiveness of the materials:

	Excellent	Very Good	Good	Fair	Poor
Overall Effectiveness	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Additional Comments:

(Optional)

Name _____

Phone _____

School Address _____

City, State, Zip Code _____

Evaluation completed on the following activities:

1. City Wide College Night Program November 1, 2001
2. Working As a Team for Student Success: Faculty, Counselors and Staff
September 20, 2001
October 29, 2001
November 8, 2001
3. Free Application for Federal Student Aid (FAFSA) Workshop
October 26, 2001
November 16 2001

The audience: High school students, financial aid prospective students, parents, high school counselors and College of Alameda staff and community.

Effectiveness of the Workshop: Excellent (see Evaluation Appendix 6)

Faculty: 3 respondents; Staff: 2 respondents; Student: 24 respondents; Other: 6 respondents;

Excellent: 19; Very Good: 8; Good: 7; Fair: 1; Poor: 0

Comments: Fun and good to know

I was able to get clarification to certain sections of the form

The material is informative, concise and provided specific information for my purposes

Very knowledgeable and friendly instructor

Very good introduction for me

Keep up the good work

Answered all my questions very well

You should leave the information on the overhead up longer so that people can copy it down

Use overhead sheets that grabs people's attention

It was informative

I liked the visual papers

It helped me understand

It was okay....

This workshop was conducted in a highly skilled and professional manner. All topics were systematically covered, and all questions were thoroughly answered. All counselors and students, who are recipients of financial aid, should attend a workshop. The workshop should be enlarged so that a student can earn 1 unit credit.

Comprehensive – easy to find answers to questions

D: DESCRIPTION OF STAFFING, FACILITIES, EQUIPMENT, AND FINANCIAL AID PROCESS:⁸

STAFFING

Financial Aid staff consists of:

Financial Aid Supervisor – full-time – 100% General funds

Financial Aid Assistant – full-time – 100% General funds

Senior Clerical Assistant – full-time – 80% General funds/Partnership for Excellence—
(Vacant)

The Financial Aid Office employs hourly staff from its BFAP administrative allowance: A Clerical Assistant II – 32 hr. and a Clerical Assistant II – 20 hr. The staff turnover resulting from these employees reaching their maximum number of legal workdays is significant and the Supervisor spends a great amount of time training staff.

The Financial Aid Office maintains drop-in office hours during the academic year on the following schedule: Monday and Tuesday 8:00 a.m. – 7:00 p.m.; Wednesday, Thursday and Friday 8:00 a.m. – 4:45 p.m.

Students may also schedule special and evening appointments with the supervisor and staff. Hours are extended during registration each semester to Monday – Thursday 8:00 a.m. – 7:00 p.m. and Friday 8:00 a.m. – 4:45 p.m.

Currently the hours of operation are extended to accommodate Evening/Weekend College students: Friday 5:00 p.m. – 7:00 p.m. and Saturday 10:00 a.m. – 1:00 p.m.

During office hours students may come to the Financial Aid Office for drop-in counter services. Students and parents may also schedule appointments with the Supervisor to discuss their aid and other problems. The Financial Aid Office staff schedules during the academic year a series of Financial Aid Application Assistance workshops for students. In addition workshops are provided to the local high schools students, faculty, counselors, staff and other organizations that are interested. The

⁸ Educational Plan, 1999-2015, p.206-211

diversity of the staff enables the Financial Aid Office to offer the student information and assistance in Spanish, Vietnamese, and Chinese (Mandarin and Cantonese).

During the interviews conducted with the Houston Executive Services (HES) on February 2001, staffing was discussed at length with the following findings and recommendations:

“HES found the Financial Aid Supervisors to be well experienced when compared to their peers. In a recent national survey of financial aid administrators, only 31.5% of Financial Aid Directors had more than ten years experience. Each of the four Financial Aid Supervisors at PCCD has more than ten years of experience in financial aid. This is significant in an industry that places a high value on experience”⁹.

Temporary/Hourly Workers: “There is an over dependency on temporary hourly workers. It has become common practice to supplement hourly workers for regular, full-time staff, which is against District policy. They lack formalized training and are unable to carryout the responsibilities of a trained financial aid administrator. As a result, customer service suffers, there is an inconsistency in the delivery of service, work redundancy and waste.”¹⁰

Student Workers: “There is also an over dependency on student workers. They too lack any formalized training in financial aid. There is constant turnover of student workers.”¹¹ “Temporary and student workers should be used in a way that is more reflective of their qualifications and training” “The dependency on temporary/hourly workers must be reduced”¹²

⁹ Houston Executive Services/Consultant’s Report, February 2001, p. 8-9

¹⁰ Ibid. p. 11

¹¹ Ibid. p. 11

¹² Ibid. p. 17

The national staffing model to determine the average number of staff members required to adequately administer the financial aid programs is reflected on the Consultant's report page 16. Total Aid Recipients: 3,407; School size: 5,500; Estimated total staff needed: 7¹³

FACILITIES:

As a result of the 1992-93 Federal Program Review in which the issue of confidentiality was raised, the Financial Aid Supervisor was provided with an office to conduct interviews with students in private. This office adjacent to the financial aid staff with a separate entrance allows conferring with students in semi-privacy, as there is no wall to ceiling enclosure.

The department workload has continued to increase over the past several years and space available is not inadequate. The working areas are too small and severely cramped, which limits the services that can be provided to financial aid recipients. The ability to provide privacy and confidentially when needed is lacking.

The removal of counter partitions to provide a more welcoming environment for both Admission and Records and Financial Aid unfortunately eliminated the possibility of private conversations directed through a window space. The open configuration of the main Student Services area allows for no privacy in the daily transactions between students and staff, especially in the areas of Admission, Registration, Counseling and Financial Aid.

The open counters, and congested hallways with numbers of students lining the walls for long periods of time, specially during registration, and major disbursements make it readily apparent that any questioning, discussion, or conversation conducted with students and staff regardless of lowered voices makes for inadvertent eavesdropping and lack of any semblance of privacy.

¹³ Ibid., p.16

The Financial Aid Office lacks a waiting and working area for students to comfortably complete required paperwork. It lacks a section for computers with Internet access for students and non-students interested in completing application on the Web, and it lacks space in a case of a major disaster. In summary, there must be a commitment to expand the Financial Aid facility in order to provide a comfortable working area for staff and students.

During the interviews conducted with the Houston Executive Services (HES) on February 2001, adequacy of confidential areas was discussed at length with the following findings and recommendations:

“The current front counter set-up does not appear to be appropriate in serving students at any of the four colleges. It projects a non-business image. It tends to encourage a loud and noisy atmosphere. One student described it as “more like a welfare office than an office of higher education”¹⁴

“A professional and business-like environment should be established. This would include construction of appropriate cubicles, tables and chairs. This would help give the student a feeling of meeting with a professional”.¹⁵

EQUIPMENT/TECHNOLOGY:

As computers become more and more integrated into the Financial Aid delivery system, space and equipment are scarce. Currently the Financial Aid staff has three computers with Internet access. The computer enables the Supervisor to communicate with the U.S. Department of Education, Federal Processor, California Student Aid Commission, California Community Chancellor Office, and to complete the various reports that currently require electronic transmission. The computer is also used to transmit data needed for all financial aid recipients for Pell Grants, Loans and Cal Grants.

¹⁴ Ibid., p. 23

¹⁵ Ibid., p. 27

Currently 3 CRT's and 4 Pentium computers are the only process of equipment used to enter all financial aid data. Effective January 1, 2002, all equipment must be upgraded, per the U.S. Department of Education. One computer is assigned for student use.

With all the changes technological changes anticipated the Financial Aid Office should be appropriately equipped. Full accessibility to the Internet is essential for the Financial Aid Office in order to meet the demands of the U.S. Department of Education, and EDFUND/California Student Aid Commission.

During the interviews conducted with the Houston Executive Services (HES) on February 2001, technology was discussed at length with the following findings and recommendations:

“The Financial Aid Office often has difficulty locating the campus support person and is left to resolve issues without Information Technology assistance”¹⁶

“Provide student computer kiosks with several computers on each college campus for the sole purpose of applying for financial aid and accessing financial aid information and searching for scholarships. These kiosks should consist of a computer, a secure, private area, a chair and Free Applications for Federal Student Aid (FAFSA's). They should be located in or near the Financial Aid office. Simple instructions should be provided for students to complete the FAFSA or access their financial aid award. Student workers could be trained to assist students as needed”¹⁷

¹⁶ Ibid. , p. 31

¹⁷ Ibid. , p.42

FINANCIAL AID DISBURSEMENT PROCESS:¹⁸

Students are awarded aid on a priority eligibility basis. Applications are accepted all year. Students are awarded on a first come-first served basis, depending on availability of funds. Pell awards are disbursed twice a semester. The first payment, available on the first day of classes, is intended to provide students with funds to purchase books early in the semester. The second payment is disbursed approximately midway through the term and includes the full payment of the award of SEOG, Cal Grant B or C, EOP&S, and CARE.

If a student does not receive a check on the first day of enrollment, the Financial Aid Supervisor may order payment for the following week. A disbursement calendar is included with the award notification.

Stafford Loan checks are scheduled and disbursed upon receipt from the lender. The first loan checks of the year for the first-time borrowers may not be disbursed until 30 days after the beginning of the first term of the year.

Federal Work-Study checks are disbursed at monthly intervals based on the amount of time worked and reported on the time sheet for the prior month. The college cashier disburses all checks.

The Free Application for Federal Student Aid (FAFSA) is the recommended application used to determine eligibility for financial aid and provides an indication of the financial aid process.

The application deadline for resident students who wish to apply for initial consideration for Cal Grant is March 2 of each year. The College's first priority deadline for applying for campus-based aid is June 30 of each year. The FAO accepts applications

¹⁸ Financial Aid Handbook, 2001-2002, p. 14

and makes awards on a rolling basis, as funds are available; however, students who meet the first priority deadline are assured of being considered for all types of aid available.

Applications completed beyond that deadline will be packaged with funds that remain.

The following are deadlines for various aid types:

Cal Grant	March 2, September 2	(Absolute)
CSWP	Or as funds remain	
SEOG	Or as funds remain	
Stafford Loan	February 20	(Absolute)
Pell Grant	June 30	(Absolute)
BOGG	Throughout the year	
EOPS	Throughout Year as funds remain	

All applicants for financial aid are required to submit the following documents in addition to the FAFSA application and/or forms:

- Student Aid Report, if applicable
- Student Information Sheet

All applicants for financial aid are required to submit the following documents in addition to the FAFSA application and/or forms:

- Student Aid Report, if applicable
- Student Information Sheet
- Documentation of Eligible Non-Citizen Status, if applicable
- Verification Statement, if applicable
- Untaxed Income Certification, if applicable
- Picture ID
- Copy of Social Security Card
- Student's prior year IRS 1040 (and parents' if dependent student) with all schedules, if applicable

Selected Applications may also be required to supply additional information to verify independent student status and other eligibility requirements.

After the Financial Aid Office has made a determination of eligibility for financial aid, it notifies eligible applicants of awards via an Award Letter.

Awards from aid sources for which the College receives limited allocations (College Work-Study and SEOG) are made on a first-come, first-served basis to students with exceptional need and until funds are expended. After these types of aid are fully committed, eligible students may be placed on a waiting list and awards made if funds later become available. Pell awards are made to eligible students until the last day of enrollment for the award year or the deadline published by the Pell Grant Program, or whichever comes first.

The FAFSA application is the primary application from which eligibility is determined for the following types of aid:

- Pell Grants
- SEOG
- College Work-Study
- Cal Grants
- BOGG C

In addition to the FAFSA, the following programs also require additional applications:

- Stafford Loans
- Bureau of Indian Affairs Grants (BIA)
- EOPS
- BOGG A & B

D: 1 DISCUSS WHETHER STAFF WAS ADEQUATE TO MEET PROGRAM'S GOALS AND EXPECTATIONS

The staffing level of the Financial Aid Office has significant implications for the management of College of Alameda Financial Aid program. Ensuring the office has appropriate numbers of staff is not only a federal requirement to guarantee fiduciary oversight of federal funds and compliance with federal regulations, it is also a benefit to the College. In addition to the important role the aid office plays in minimizing the potential for institutional liability in administering federal and state funds, it also fulfills important functions relating to outreach and retention; delivering services to prospective, current, and former students; and to supporting numerous financial systems within the College.

FEDERAL REQUIREMENT: CRF Sec. 668.16 Standards of Administrative Capability.¹⁹

As part of its process of meeting standards of administrative capability, each college that administers Federal Title IV student financial aid is required to:

Designate a capable individual to be responsible for:

- Administering all Title IV student assistance programs in which the institution participates, and
- Coordinating the Title IV programs with the institution's other Federal and non-Federal programs of student financial assistance;
- Communicating to that designated individual all information received by any institutional office that bears on a student's Title IV eligibility, and
- Use an adequate number of qualified persons to administer the financial assistance programs, considering:
 - The number of students aided,
 - The number and types of programs in which the institution participates,
 - The number of applications evaluated,
 - The number of funds administered, and

¹⁹ SFA Regulations, Office of Student Financial Assistance U.S. Department of Education Part 668, 8-25

INSTITUTIONAL BENEFIT:

On a purely financial basis, the Financial Aid Office provides the mechanism for fee payment for a large proportion of College of Alameda students. The Financial Aid Office also provides funds for the purchase of books and provides aid to offset costs for transportation and living expenses for many students. This ensures low-income students are able to attend the College, and consequently, contributes to College FTES. The Financial Aid Office additionally provides a supplement to the College personnel system through management of the Federal Work-Study Program.

But the formidable task of getting money to eligible students by processing applications accurately and reporting in a timely manner represents only the top layer of service the Financial Aid Office provides. This office has on-going contact with 55%²⁰ of all enrolled students from their initial inquiry, through their academic programs and for those who have student loans beyond completion and into their loan repayment period.

Besides processing applications, it's important to remember that the Financial Aid Office counsels in budgeting, debt management, and employment opportunities (providing for many students their first experience with money management and employment) as well as involving itself in students' academic performance by monitoring progress and recommending scholarship applications. Additionally, the Financial Aid Office acts as liaison to outside agencies to coordinate their functions and awards, ensuring students have access to a variety of sources of funding over and above those provided through the College Financial Aid process.

Additionally, the Financial Aid Office acts as liaison to outside agencies to coordinate their functions and awards, ensuring students have access to a variety of sources of funding over and above those provided through the College Financial Aid process.

²⁰ PCCD Student Demographic Statistics, F01, 09/22/01 (55% was arrived at by using unduplicated awards of approximately 2,870 for 2000/01 and College headcount of 5,214 as of 9/22/01).

In addition to directing the activities described above, the Financial Aid Supervisor must also follow funding trends and make decisions about awarding based on the unique, often changing characteristics of the student population, must develop policies and procedures relative to those decisions, and must ensure adequate information about those policies is available through consumer information and other publications. The Supervisor must keep abreast of continuing legislative change and modify procedures and systems appropriately to respond to those changes while moderating the amount of confusion on campus for both the student recipients and the College systems supported by student aid.

And, of course, when all of these functions occurs within a District of Colleges, such as Peralta's, the Supervisor must further coordinate among the other colleges as well as through the District Office.

It is apparent, therefore, as student applicants and total dollars of student aid increase, the ability of the Supervisor to perform these functions adequately, to anticipate and plan for impacts of particular legislative change, and to counsel students is diminished unless the Financial Aid Office staff is sufficient to respond to increased processing demands.

If we viewed our operation in terms of the standard forty-hour week, it would be impossible for the Financial Aid staff to deliver our promised services to our students and to be in compliance. The only way that the Financial Aid staff is able to keep with the student demands and to do the necessary reports is by working beyond regular hours and into evening hours, Saturday, Sunday and some holidays.

Due to budget constraints the Financial Aid Office staff cannot report overtime. Therefore, additional staff is needed to adequately perform the functions necessary to ensure that both compliance and the level of service are maintained. It is apparent that College of Alameda Financial Aid Office must not only guarantee existing staff levels and be fully budgeted, but it should also minimally provide at least seven to ten additional staff members to ensure program integrity is maintained and bring it into parity with other like institutions.²¹

²¹ Houston Executive Services/Consultant's Report, February 2001, p.16

Our equipment appears to be up to current government specifications; however, we would need more space and more computers with Internet access for student use, as financial aid forms go on-line.

The Financial Aid Office facilities lack privacy; there is no space available for students to discuss private or confidential matters. All interaction occurs while other students stare while waiting or lining up. This environment is embarrassing for some students who have very delicate matters or traumatic family problems. It is our hope that we will move to a different location as that our facility in the near future is private, professional, comfortable and spacious for our students. In addition, the staff who spend many hours at work helping our students need more space so that our institution is in compliance as noted in the Financial Aid Office Program Review finding: "The auditor noted that cramped and overcrowded conditions in the financial aid office. The auditor observed that neighboring conversations and counseling were clearly overhead regardless the lowered voices in which they are spoken. Adequate space to the financial aid office in its functions to effectively service the needs and rights of the students"²²

D: 2 DESCRIBE HOW STAFF KEPT UP-TO-DATE WITH FEDERAL, STATE, AND LOCAL RULES AND REGULATIONS

College of Alameda permanent and temporary staff attend Federal and State Workshops. Permanent staff attend CCCSFAA (California Community Colleges Student Financial Aid Administrators) conferences, if budget permits attendance by all staff when the annual conference is conducted in the North. Permanent and temporary staff attend the CCCSFAA Spring conferences. In addition, permanent staff attend the CASFAA (California Association Student Financial Aid Administrators) conference. The Financial Aid Supervisor attends the U.S. Department Electronic Conference and the Annual SAFE mandatory Conference and Region Meetings. Permanent and temporary staff, when budget permits, attend EDFUND and Cal Grant Training Workshops provided by the

²² Financial Aid Office Program Review, Audit June 15-19,1992

Student Aid Commission, and the Student Loan Programs Workshops pertaining to regulatory changes and instruction on the administration of Grant and Loan Programs. The staff tries to attend most of the workshops conducted by the Department of Education free or minimal charge. In addition, the Financial Aid Supervisor reviews web information provided by the U.S. Department of Education for students, for financial aid professionals regarding, regulations, bulletins, announcements or any electronic notification relevant to Financial Aid. The permanent staff of two attend and discusses changes policy and customer service issues during in-house meetings.

D3: DESCRIBE DISBURSEMENT PROCESS INCLUDING TURNAROUND TIME FOR RECEIVING AID

Financial Aid is disbursed twice a semester. The first payment is available on the first day of classes. This payment is intended to provide students with funds to purchase books early in the semester. The second payment is disbursed approximately midway through the term and includes the full payment of the award of Federal Pell Grant, Federal Supplemental Educational Opportunity Grant, Cal Grant B or C, Extended Opportunity Program and Services, and CARE.

If the student does not receive a check on the first day of enrollment, the Financial Aid Supervisor may order payment for the following week. Stafford Loan checks are scheduled and disbursed upon receipt from the lender. The first loan checks of the year for the first-time borrowers may not be disbursed until 30 days after the beginning of the first term of the year.

Federal Work Study checks are disbursed at monthly intervals based on the amount of time worked and reported on the time sheet for the prior month.

Even though the Financial Aid staff has two permanent and one temporary staff members, this does not prevent the office from providing the best service to our students. Students who apply for financial aid are informed of various programs available,

eligibility requirements, and application procedures in a face-to-face conference with the Financial Aid Supervisor, the Financial Aid Assistant, or the temporary staff available.

Students receive assistance in completing the FAFSA, which is then subsequently transmitted electronically to the Federal Processing Center. Upon receiving the response back from the Federal Processing Center, each eligible student is then awarded for financial aid and financial aid disbursement are then ordered. The average turn-around time from application completion to check disbursement is approximately ten business days.

E: EXTERNAL FACTORS SUCH AS STATE LAWS, CHANGING DEMOGRAPHICS AND FUNDING THAT IMPACTED THE PROGRAM:

There has been a considerable variation in services in the last five years. More students with financial need, more student diversity, more single parents attending college, and more courses offered in evening and weekends will increase demand. Enrollment is expected to increase at community colleges in the coming years. In order to meet these student needs, the Financial Aid Office staff keeps constant communication with the following external agencies:

- ◆ U.S. Department of Education
- ◆ California State Chancellor's Office
- ◆ California Student Aid Commission
- ◆ Ed Fund
- ◆ Various Lenders
- ◆ High Schools
- ◆ California Community Colleges
- ◆ Four Year Institutions
- ◆ Internal Revenue Service (IRS)

- ◆ Selective Service Administration (SSA)
- ◆ Social Security Administration (SSA)
- ◆ Department of Justice (INS)
- ◆ Americorps

Other agencies such as:

- ◆ California Association for Student Aid Administrators (CASFAA),
- ◆ California Community Colleges Student Financial Aid Administrators (CCCSFAA),

E2: REPORTS

1. Peralta Community College District Office of Financial Aid, Consultant's Report, February 2001.
2. Accreditation Interim Report to Accrediting Commission for Community and Junior Colleges, March 2000.
3. U.S. Department of Education Office of Postsecondary Education Title IV Financial Aid Assistance Program Review, June 15 – 19, 1992.
4. California Student Aid Commission CAL Grant Program Review, August 14, 1996

F: ANALYZE AND DESCRIBE THE IMPACT YOUR PROGRAM HAS HAD ON THE FOLLOWING INDICATORS

The availability of the Board of Governors Fee Waiver has increased access for students across the board. Low to middle income students can qualify for the Board or Governor's Fee Waiver by completing the application or by demonstrating financial need through the Financial Aid application.

F1: ACCESS. Is the ethnic breakdown of students you serve disproportionate to the general ethnic distribution?

Ethnic background for fall 1999:

ETHNICITY:	College population	Financial Aid recipients
Asian	32% or 1,763 students	42% or 798 students
African American	29% or 1,623 students	35% or 663 students
Filipino	5% or 267 students	3% or 61 students
Hispanic/Latino	9% or 524 students	6% or 113 students
White Non Hispanic	18% or 1,017 students	10% or 183 students
Native American	1% or 35 students	1% or 14 students
Other Non-White	1% or 76 students	2% or 30 students
Unknown	5% or 255 students	3% or 59 students

Fall Term Demographic for Financial Aid Recipients: 1999²³ shows that a higher percentage of Asian students received financial aid during 1999.

A slightly lower percentage of Latino students received financial aid during 1999.

Lower percentage of White/Non-Hispanic students received financial aid during 1999.

F2: SUCCESSFUL COURSE COMPLETION:

Does your program have any impact on student course completion rates?

College of Alameda: The Financial Aid Success Indicators for Students Receiving and not receiving Aid²⁴. B-1 indicates that receiving financial aid dramatically contributes to student success indicator outcomes. For example, matriculating students on fall 1999, Grade Point Average 2.83, completion rate was high 67.8%; retention rate 78.9%; and persistence rate was 70.7%.

²³ PCCD Financial Aid Data, Spring 2001, A-1

²⁴ Ibid. B-1

Successful Course Completion: The rate of successful course completion is computed as the sum of course enrollments receiving an official grade of A, B, C or Credit (CR) divided by attempted course enrollments. Attempted course enrollments is the sum of students receiving a grade of A, B, C, Credit (CR) D, No Credit (NC) F, Incomplete (I), or Withdrawal (W and MW)²⁵

Student Success Rate: The student success rate, rate of successful units completed, like successful course completion, in which all courses count equally, in successful units completed courses with a higher load count more than those with a lesser load. For example, a four-unit course counts twice as much as a two-unit course.

The success rate is computed as the sum of units for course enrollments receiving an official grade of A, B, C, or Credit (CR) divided by units for attempted course enrollments. Units for attempted course enrollments are those for courses where the student received a grade of A, B, C, Credit (CR), D, No Credit (NC), F, Incomplete (I), or Withdrawal (W and MW).²⁶

Student Retention rate is calculated as the number of students who complete at least one class with a grade other than “W” over the total number of students enrolled in at least one class. A high retention rate may reflect, among other factors, a high level of student satisfaction with the college environment, services, programs, faculty and staff. Between 1996 and 1999, overall rates of student retention increased at College of Alameda, 71% to 75%²⁷.

Persistence Rate is a measure of endurance by students from term-to-term. It is based on continued enrollment from the fall term to the spring term of an academic year. The persistence rate is computed as the unduplicated headcount enrollment of those persisting from fall to spring, divided by the unduplicated headcount enrollment of the fall term.

²⁵ PCCD Peralta Facts 2000, p. SO1

²⁶ Ibid. p.SO9

²⁷ Ibid. p. SO17

Between 1996 and 1999, overall rates of student persistence rate increased from 60% to 61%²⁸. Returning Transfer students have the highest rates at College of Alameda from 37% to 43%²⁹

G: FUNDING³⁰

G1: FUNDING SOURCES AND THE AMOUNT IN YOUR MAJOR BUDGET CATEGORIES

Board Financial Assistance Program Financial Aid Administrative Allowance (BFAP)

1996-1997	\$	63,947
1997-1998	\$	57,552
1998-1999	\$	54,674
1999-2000	\$	48,502

Title IV Administrative Allowance

	Federal Pell Grant	Federal SEOG	Federal Work Study
1996-1997	\$ 7,750	\$ 10,401	\$ 6,688
1997-1998	\$ 4,950	\$ 10,768	\$ 7,411
1998-1999	\$ 4,990	\$ 11,103	\$ 8,084
1999-2000	\$ 4,645	\$ 11,308	\$ 8,339

²⁸ Ibid. p. SO25

²⁹ Ibid. p.SO-31

³⁰ Board or Financial Aid Assistance Program Administrative Allowance Expenditure Report, 1996-97, 1997-98, 1998-99, 1999-2000

G2:

TOTAL FUNDING FOR THE LAST FOUR YEARS

Sum of Expense			Fund Type			
Year	Category	ObjectDesc	General	Title IV	BFAP	Grand Total
1996-1997	Administration	ADMINISTRATORS	\$57,081			\$57,081
	Classified	CLERICAL, HOURLY	\$56,043			\$56,043
		CLERICAL/TECH.REG		\$1,527	\$63,947	\$65,474
	Student Workers	STUDENT ASSISTANT		\$2,022		\$ 2,022
1996-1997 Total			\$113,124	\$3,549	\$63,947	\$180,620
1997-1998	Administration	ADMINISTRATORS	\$ 62,946			\$62,946
	Classified	CLERICAL, HOURLY	\$ 89,217			\$89,217
		CLERICAL/TECH.REG		\$1,040	\$57,552	\$58,592
	Student Workers	STUDENT ASSISTANT		0		0
	Equipment	EQUIPMENT, INSTRUCT EQUIPMENT, NON INSTR	0	\$339		\$339
1997-1998 Total			\$152,163	\$1,379	\$57,552	\$210,755
1998-1999	Administration	ADMINISTRATORS	\$88,051			\$ 88,051
	Classified	CLERICAL, HOURLY	\$94,202		\$54,674	\$148,876
		CLERICAL/TECH. REG		\$720		\$720
	Student Workers	STUDENT ASSISTANT		\$6,977		\$6,977
	Equipment	EQUIPMENT, INSTRUCT	0			0
1998-1999Total			\$182,253	\$7,697	\$54,674	\$244,624
1999-2000	Administration	ADMINISTRATORS	\$95,116			\$95,116
	Classified	CLERICAL, HOURLY	\$95,824		\$48,502	\$144,326
		CLERICAL/TECH. REG	0			0
	Student Workers	STUDENT ASSISTANT		\$3,541		\$3,541
1999-2000Total			\$190,940	\$3,541	\$48,502	\$487,607
Grand Total			\$638,480	\$16,166	\$224,675	\$1,123,606

G3: INDICATE ALL ACTIVITIES OF SEEKING FINANCIAL AID FUNDING FROM ALL AVAILABLE SOURCES:

The Financial Aid Office operates on Administrative Allowance. Funding for Administrative Allowance comes from the Pell Grant Program, Federal Supplemental Educational Opportunity Grant, Federal Work Study, and Board of Financial Assistance Program.

Pell Grant funding is allocated based on the number of students reported to the Department of Education, units enrolled, and eligibility determined through the Student Aid Report. The Financial Aid Office reports data electronically to the U.S. Department of Education and funds are allocated based on payment transmission reports.

Federal Supplemental Educational Opportunity Grant and Federal Work Study are Campus-Based funds. Allocation is determined by the U.S. Department of Education, based on a complex formula applied to all colleges nation-wide. Campus Based funding has increased each year for the College of Alameda due to the increased number of students receiving financial aid.

The availability of the Board of Governor's Enrollment Waiver has increased access for students across the board. Low to middle income students can qualify for the Board of Governor's Fee Waiver by completing the application, or by demonstrating financial need through the FAFSA application. Twice per year, October and March, the college will be asked to provide an estimate of the total program activity for the current year. This will include an estimate of the number of students to be served in summer, fall, and spring, as well as an estimate of the total dollar amount of fees to be waived in the time period. Then, the college is allocated a sum proportional to the number of students served by fee waivers in the last year for which verifiable data are available. The Financial Aid Office does not receive Administrative Allowance for Federal Stafford Loans, or Cal Grants.

H LIST IN PRIORITY ORDER THE MAJOR PROBLEMS OR CHALLENGES THE PROGRAM CURRENTLY FACES AND YOUR RECOMMENDATIONS TO RESOLVE THESE.

1. Staffing

The current structure comparing the office workload with the staff and resources is very deficient. The hiring process of a Senior Clerical Assistant is delayed due to the District's hiring freeze. This change affected the Financial Aid staff dramatically. The lack of hiring permanent staff is an impediment to effectively deliver the services to the students and to provide efficient customer service. The Financial Aid Office staff has extensive demands placed on them by the Department of Education, Board of Trustees, Chancellor, President, Vice-president and students. In order to both meet these demands and maintain a positive climate it is imperative that we hire permanent staff to better carry out these responsibilities. Therefore, the following nine positions as recommended in our Educational Plan 2001-2016 are currently needed:

Three full-time classified clerical assistants to handle the increased workload of Pell Grants and FSEOG, in the upcoming years.

Five full-time classified Senior Clerical Assistants to handle the increased workload of:

- Cal Grants
- Federal Work Study, and Job Placement
- Federal Family Educational Loans
- Providing support with the daily transmissions for all Title IV Grants
- Providing support with the evening and weekend office coverage
- Receptionist to handle all incoming phone calls and provide direction to students who need to have access to the Internet and assistance in completing financial aid applications.

A full time clerk with accounting skills to provide support in the reconciliation of all the reports expected to be submitted to the Department of Education, Student Aid Commission and other agencies. The Financial Aid Office staff needs extensive training from the Department of Education, the California Student Aid Commission, and California Community Colleges on a regular basis during the academic year.

2. Facilities

Customer Service and Confidentiality is crucial in order to meet the demands of the District and the Department of Education. It is imperative that we focus our attention on providing a confidential area for the staff and students. The perception that we project to our students and other staff and administrators, due to lack of facilities for a confidential area, plus a crowded space and long lines, is that we are disorganized and confused.

“Many students have unique needs which they often have a difficult time expressing in financial aid because other students are in earshot of what they may have to say. They may have things that may be embarrassing or very confidential. This impedes the financial aid staff in properly assessing the student needs.

The current front counter set-up does not appear to be appropriate in serving students at any of the four colleges. It projects a non-business image. It tends to encourage a loud and noisy atmosphere. One student described it as more like a welfare office than an office of higher education.”²⁸

Therefore, we recommend the following:

- Expand Financial Aid Office space to accommodate 15 to 20 staff
- Explore renovation of the financial aid file room, the space will be used to accommodate three or four new staff members
- Expand Financial Aid Office space to accommodate minimum of two computers for student use

²⁸ Houston Executive Services. Consultant's Report, p.23

- Expand Financial Aid Office space to accommodate a waiting and working area for students to complete required paperwork comfortably
- Expand space to accommodate student financial aid files

Given that the above is not feasible in our current location, the Financial Aid Office must move to a new location that will accommodate 15-20 staff and work-study students, have space for a waiting area, and have space for student computer use.

3. Technology

Technology is crucial for our Financial Aid Office, but this department has limited technical support. In the next few months most of our communication may be web-based. Currently we communicate often with our students via e-mail, and students can complete most of the applications on the Internet. However, limitations of data lines at College Of Alameda bring a lot of problems to the office functioning and ability to provide the necessary services for our students. The Department of Education published the new minimum computer specifications and the college must be in compliance by January 2002. It is imperative that each staff member be supplied with the necessary tools to communicate with a student. Therefore, our recommendations are as follows:

1. Each employee should be equipped with a computer that meets the requirements of the U.S. Department of Education
2. Since one of the U.S. Department of Education goals is to encourage students to apply for financial aid using FAFSA on the Web, there should be a minimum of two computers in the financial aid office for student use.
3. Provide scanners to each employee in order to scan incoming documents.
4. To increase performance and communication, all correspondence should be sent via e-mail; for example: award letters, document letters, etc.

4. Understanding Awareness of Financial Aid by College Community

Only if the College Community is aware how important financial aid is to student access and student retention the Financial Aid Office will get the resources needed to address other issues.

To further this awareness, the Financial Aid Office has instituted the following:

1. Financial Aid Advisory Committee
2. Work-study handbooks for supervisors and students
3. Workshops for students, staff and faculty
4. Workshops for the community
5. Staff participation in College-wide activities
 - a. Project Access
 - b. Accreditation Committees
6. Regular meetings with Counseling Staff

I REVIEW THE COLLEGE'S LATEST ACCREDITATION SELF-STUDY REPORT²⁹

The last Accreditation Report made to the Accrediting Commission for Community Colleges covered the following three areas:

Response: In response to the need for a regular system of program review at all of the Peralta Colleges, the Vice-Chancellor of Educational Services met in October 1999 with the District Academic Senate (DAS) to discuss the current program review policy. There was consensus that the existing policy was not satisfactory. Since the accreditation commission is moving toward having colleges in multi-campus districts on the same cycle with simultaneous accreditation, it was decided to coordinate program reviews among the four Peralta Colleges.

The Vice-Chancellor drafted a new policy and distributed it to the DAS, local Senates, Presidents, Deans, and the Council on Instruction, Planning, and Development (CIPD). She met with local Senates to discuss the draft and to gather recommendations. The attached document (Document #1) is the result of that collaboration.

Through this process, it was decided that the new program review procedures would be beta-tested in spring 2000. Math, plus one vocational program, will be reviewed at each of the colleges. At College of Alameda, Math, and Aviation Maintenance will participate in the beta testing this semester. In fall 2000, a larger group of programs will be reviewed. All College of Alameda program reviews will be completed by spring 2003.

As described in the enclosed document, there are four stages in the program review process:

Stage One: The appropriate Assistant Dean will form a Program Review Committee of faculty within the discipline to conduct a self-study and submit a report. The self-study will include analysis of student outcomes and other relevant data.

Stage Two: A validation team consisting of an Assistant Dean not involved in the self-study, one or more faculty members selected by the Academic Senate from outside the instructional program, and one or more persons representing an outside agency will review and verify the information contained in the self-study document.

Stage Three: The Program Review Committee will review the Validation Team's report and will respond in writing.

²⁹ Accreditation Interim Report to Accrediting Commission for Community and Junior Colleges, March 15, 2001, p. 1-5

Stage Four: The Dean of Instruction will prepare a summary of the report and present it to the College Curriculum Committee, and then to the College Council as part of the college planning process.

For those programs, which are licensed by an outside agency (for example: Aviation, Dental, Nursing), the plan is to combine program review with the existing licensing process rather than to duplicate effort. Information gathered for licensing will be included in program review, along with additional data as appropriate with an emphasis on student outcomes.

Results of program review will be integrated into the college planning process through the work of the Budget and Curriculum Committee, as well as the College Council.

Response: As part of a negotiated Vista College deannexation settlement approved by the Peralta Board of Trustees in July 1998, the Board agreed, through consultation with its shared governance, mechanisms, to “consider a systematic review of its current policies and mechanisms for allocation funds to the colleges within the District.” Contributing to this discussion, the vice-chancellor of Financial Services made a presentation to the Board on January 18, 2000, describing both the current funding mechanisms and a proposed Budget Allocation Formula Model. (See Document #2).

Currently, each college and district operating unit is given a “base budget” to include all authorized full-time equivalent faculty/staff and discretionary funds. Staffing is budgeted based on actual salary costs (i.e., step and column placement), and funds for vacant positions are retained by the colleges. Additional funds are allocated based on requests and justification made to the district office. The Vice-Chancellor described the current budget allocation process as “not understood, not acceptable, and not believed to be equitable.”

As an alternative to the current base-budget process, the Vice-Chancellor presented figures on program-based funding. In a program-based funding model, if the district were fully funded, it would receive \$116 million. Peralta receives only 52.9% of that target; third lowest in the state, while the statewide average is approximately 54%. After the passage of Proposition 13, it was expected that equalization funding would be available each year to assist Peralta and other low-revenue districts, but equalization has been “blue-penciled” by the Governor for the past several years. Lack of equalization funding has created a climate of scarcity that may or may not be changed by a different budget allocation model.

The Vice-Chancellor proposed adding to the program-based funding for each college an allocation for maintenance and operation (based on square footage), non-credit instruction revenue, lottery funds, and revenue allocated to the specific colleges because of activities, such as facility rentals, unique to that college. Deducted from the total would be a share of District Office expenses, with costs based on full-time Equivalent Students, number of student, number of employees, and other factors.

The Vice-Chancellor's proposal is the beginning of a district-wide discussion and process to determine alternate means of allocating funds. However, even at this early stage of the discussion, many issues and questions arise.

The Vice-Chancellor outlined principles for a future funding formula: cost of programs, student outcomes, and cost of core programs. Presently, there is no reliable data on those costs, nor is there any clear way to measure student outcomes or to determine how student outcomes should be factored into the allocation. How will these factors be fully explored?

In the proposed model, there is emphasis on efficiency and accountability at the colleges. The Vice-Chancellor stated that "some colleges are paying for the inefficiencies of other colleges." However, there was no concomitant discussion about efficiency at the District Office. Rather, District Office costs were seen as "fixed" and were simply spread or shared among the colleges. While the colleges would move to program-based funding. The District Office would be funded on the old base-funding model, with no incentives for improved efficiencies. Thus, an important question arises: Is there another way that funds should be allocated to the District office?

It is often said, within our district, that the college budgets should be tied to our 18 district goals, but there also needs to be a discussion about establishing and evaluating goals of the District Office programs and staff. Since the services of the District Office will be charged to the colleges, how will those services be evaluated to determine the quality of service provided to the colleges? The college recommends on-going evaluations of central district services and the benefits those services provide to the district's primary mission of instruction.

In the proposed model, College of Alameda would receive approximately \$10 million, a reduction of \$2 million from its current budget. Merritt College would also receive \$2.5 million less. Laney's share would increase by \$2.3 million, and Vista would increase by \$.5 million. The District Office allocation would increase by \$1.2 million. There will be many questions raised about the validity of a budget model that moves a significant amount of funds to central administration and away from the instructional sites. College of Alameda recommends an analysis of Peralta's central district office budget-share and its newly proposed college budget assessment using, among other measures, comparative financial data generated by central district offices of community colleges district similar to Peralta.

The Chancellor is reconstructing a District Budget Committee to look at proposed budgetary model. It will be necessary to have a reasoned carefully paced process that addresses the issues of incentive for enrollment growth and productivity increases. This process should provide funding stability, which allows for full shared governance, so that the model is understood and supported

Response: College of Alameda administrators, working with Peralta District Personnel Office and the District Vice Chancellor of Educational Services, have developed notification and follow-up systems for employee evaluations. Five groups of employees, including classified staff, part-time, tenure-track, and post-tenure faculty, and management staff are included in the process.

In order to monitor classified employee evaluation, a newly devised tracking system was recently put in place by the district personnel office, which follows employees' evaluations according to anniversary dates-of-hire, requiring classified employees to be evaluated every year. Notifications, including due dates, of upcoming classified evaluations are sent to line managers or supervisors, and overdue notices are sent four months after the evaluation are due. Completed classified evaluations are kept in personnel files at the district office (See Document #3).

Part-time faculty evaluations present a challenge due to the large number of part-timers, the comparatively smaller number of post-tenure faculty evaluators, and the ever-changing cast of part-time faculty revolving through our system. Nonetheless, a process was created, implemented, and included in the faculty collective bargaining agreement. (See Board Policy 3.31, Document #4.) Additionally, in 1999-2000, a side bar agreement with the faculty union resulted in using student evaluations as the criterion meeting the requirements for evaluation of part-time, temporary faculty, (See Document #5.)

A Tenure Review Oversight Committee made up of senior faculty and district management working in conjunction with campus tenure review committees, looks after tenure-track faculty evaluation. College of Alameda has an excellent record of completing tenure-track faculty evaluations, and is currently at a 100% completion rate (See Document #6)

Post-tenure faculty reviews have presented the greatest challenge because the college and district did not have an adequate notification and follow-up system in place. Recently, evaluation committees of post-tenure faculty were formed to evaluate each other every three years. Evaluation notifications (with due dates) were sent to the post-tenure faculty evaluation committees, and follow-up meetings to monitor and remind the committees of their obligation were held between committee chairs and Division Assistant Deans. College of Alameda is pleased to report great progress in this area (See Document #7 and Document #8.)

Management evaluations have been completed at a very high completion rate, and have not presented a challenge. The district recently reviewed the management evaluation process and refined the procedure. A draft copy of this proposed Management Skills and Performance Evaluation Forms is described in Document #9.

1: *The team recommends that the college establish a regular system of program review, which assesses student outcome measures and integrates with and informs the institutional planning process.*

II: The Financial Aid Office is currently under a Program Review

2. *The team recommends that the district and college develop a resource allocation process linked to planning that provides incentive for enrollment growth, productivity increases, and funding stability, and which is widely understood and supported.*

I2: Resource Allocation: The Financial Aid Office is currently using PFE Funds. These funds are allocated to free-up 80% of the Senior Clerical Assistant position.

2. *The team recommends that the college take immediate action to ensure that evaluations for all employees are implemented on a regular and systematic basis (Standard 7B).*

I3: Evaluations: The Staff of the Financial Aid Office are evaluated formally on annual basis, and informally on a monthly basis.

In conclusion, this report proves that more financial aid staff is needed; a new location is needed that is comfortable, professional for our students and staff, and quiet and more conducive to confidential discussion with students.

The *Houston report* discussed their findings and recommendations in much detail. We strongly urge all interested parties to read the *Houston Report* and to carefully weigh the pros and cons of each recommendation.

From the Student Success Project, Part I, July 2001

Financial Aid

Where Are We?

The Financial Aid Program serves more than 12,000 students from the four college offices. Policies and procedures are largely standardized; however, constant district-wide coordination is required to insure that all students are treated equally at the four colleges. The basic functions of Financial Aid such as processing of applications and disbursement of funds is adequate. But the four offices suffer from poor customer service due to: (a) inadequate facilities, (b) inadequate technology, (c) inadequate business services support at the district office, and (d) frequent lack of civility and cheery delivery in face to face interchange with students. Finally, the status of the Financial Aid directors in title and esteem among other college operations is very low. There is a significant lack of understanding among management and faculty of the mission critical role of Financial Aid in the success... or failure... of enrollment management and retention.

Where Do We Need To Be?

All four Financial Aid offices need to be physically and technologically transformed into "PC Lobbies" with computers and desks available to Financial Aid applicants in a pleasant environment. The lobbies need to be staffed by "Financial Aid Renaissance Attendants" who coach students as they apply for and make status inquiries about their Financial Aid directly, electronically. A discreet office out of view of the lobby will work privately one-on-one with special case students who need more than attendant coaching. All paper work and processing by staff will be done in non-viewable office space where no student interface occurs. Students will be enabled to view status and update applications on the web. All Financial Aid processes including application, status, and update functions need to be available to students electronically on a 24/7 basis.

The central business support will include predictable, timely disbursements and Financial Aid processing that is wholly designed to support student service rather than business services.

How Do We Get There?

The Houston Report (workproduct of consultants hired to assess Financial Aid operation for customer service, facilities and technology) contains many useable findings that will serve as the core of the plan to move Financial Aid to the next step in technology

and customer service. First task is to move Financial Aid physically to easily accessible "PC Lobby" facilities (see above). Measure E funds will be requested to accomplish the Houston based plan in September 2001. Second, Financial Aid will urgently request that a vacant position in central business services be filled, and partially dedicated to support Financial Aid fiscal operations. Third, a series of continuous customer service training will be conducted for all staff in Financial Aid and Financial Services during Fiscal Year 2001-2002. Assessment of the success of these strategies will be measured both in quantity of students served and by periodic customer satisfaction surveys and focus groups.