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Registrar as a Member of an Institutional Compliance Team

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Institutional Overview

- Founded in 1854
- 5,000+ undergraduate, graduate, and law
- Master's/L: Master's Colleges and Universities
 - Undergraduate (4-year, private)
 - Graduate and Doctorate (Traditional and cohort)
- Locations in Saint Paul and Minneapolis



Structure

- Decentralized
 - College of Liberal Arts
 - School of Business
 - School of Education
 - School of Law
- No formal (instructional compliance) committee



Structure, continued

- Multiple layers of approval
- “Centralized”
 - Office of Financial Aid
 - Institutional Research
 - Office of the Provost (established July 2012)



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Program Integrity

- State Authorization
- Definition of Credit Hour
- Repeating Coursework
- Withdrawal Calculations
- Satisfactory Academic Progress
- Gainful Employment



Pros & Cons

- Pros
 - I have yet to find one...
- Cons
 - (Mis)communication
 - Confusion
 - Delayed implementation
 - Not in “the loop”
 - Don’t “shoot the messenger”
 - Reporting
 - Redundant systems/processes



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Summary

- A member of institutional compliance
 - Seek to be part of an institutional compliance team
 - Seek to find out who is doing what and join them
 - Seek the balance between required forcefulness and annoyance



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Institutional Compliance Team St. Catherine University

- If they regulate it . . .
 - Final Program Integrity Rules, October 29, 2010
 - 14 categories, 79 requirements
 - Cross functional cooperation/input required
 - Compliance deadline of July 1, 2011 for most
- Leadership
 - Director of Financial Aid
 - Project manager



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Institutional Compliance Team St. Catherine University

- Composition
 - Project manager
 - Financial Aid x4
 - Registrar x3
 - Admissions x2
 - Institutional Research, Planning and Assessment
 - Other



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Academic Leadership Team St. Catherine University

- Composition
 - Senior Vice President
 - Vice President and Academic Dean: School of Humanities, Arts and Sciences
 - Academic Dean: School of Business and Leadership
 - Academic Dean: School of Health
 - Academic Dean: School of Professional Studies



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Institutional Compliance Team St. Catherine University

- Step 1
 - Homework!
- Step 2
 - Project document
 - List requirements by category
 - Identify where we are already compliant
 - Identify gaps: reason for gap, person responsible for resolution (inside or outside of the team)
 - Due dates and completion dates



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Institutional Compliance Team St. Catherine University

- Step 3
 - Identify issues that need to be raised to the academic leadership team
- Step 4
 - Prepare documentation
 - Overview
 - By Category
 - Requirements
 - Questions: issues to be determined



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Institutional Compliance Team St. Catherine University

- Step 5
 - Meet with academic leadership team (academic deans and senior vice president)
 - Present information
 - Discuss
 - Secure response
 - Move forward
- Repeat steps 4 and 5 as needed



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Example: Credit Hour Definition St. Catherine University

- We believed St. Kate's was compliant
- Questions presented to the academic leadership team:
 - A. We believe we need to document our current policy and practice. Do you agree? How well do you think this is understood at the University? Do you have any initial concerns about the credit values assigned to our current courses?



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Example: Credit Hour Definition St. Catherine University

- B. We understand that a sub group of EPC is looking at what is represented by a credit hour, and another group is looking at outside class work not in the schedule. How would you like to connect with faculty and the EPC related to the new credit hour definition?

- C. Is someone at St. Kate's responsible for reviewing student effort for distance learning programs? Do we need a separate review of distance learning courses?



Example: Credit Hour Definition St. Catherine University

- D. Are faculty aware of the credit hour requirements, and how does EPC enforce assignment of credit hours for courses? Are courses periodically reviewed after initially approved by EPC?

- E. Are classroom and non classroom hours sufficient for the credits awarded for our half-term and two credit courses? Would you like someone (who?) to review and assess the student effort related to the credit hours currently assigned?



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Example: Credit Hour Definition St. Catherine University

- F. How would you like to engage with our HLC team to ensure we provide them adequate information and documentation of our credit hour definitions to meet their new responsibilities related to ensuring credit hour assignments by their institutions?
- EPC developed institutional policy and published on Academic Affairs website
 - Registrar ensures continued compliance



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Registrar's Responsibilities St. Catherine University

- Documentation, Tracking and Enforcement
 - Provide data as requested
 - Develop new reports
 - Develop new procedures
 - Develop new coding in SIS
 - Develop training materials
 - Update catalog
 - Update website
 - Respond to requests from accrediting bodies
 - Ongoing policy enforcement



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Registrar's Responsibilities St. Catherine University

- Leadership
 - Liaison between institutional compliance team and faculty/faculty leadership/faculty committees (includes policy development, education, training and enforcement)
 - Remain positive and assume good will
 - Expect it to be an iterative process
 - Think big. . . and think small
 - Support your team



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Successes

St. Catherine University

- Met deadlines
- Positive Department of Education review
- Positive Higher Learning Commission review
- Successful financial aid audits
- Successful program accreditation reviews
- Continued collaboration
- Continued compliance



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Challenges and Next Steps St. Catherine University

Challenges

- Getting answers
- Attendance taking
- Time commitment – no additional FTE
- NEW Faculty governance structure

Next Steps

- Automate reminder emails
- Implement Banner XE Attendance
- Develop online training