AGENDA

PRESIDENTS MEETING
Tuesday, February 15, 2011 – 9:00 A.M. (CT)

1. Legislative Update (Vice Chancellor David Gregory)
   a. Admission of Undocumented Students (Vice Chancellor Wendy Thompson)

2. Business Intelligence Initiative Update (Tom Danford) – Attachment

3. Approval of Transfer Pathways (Vice Chancellor Paula Myrick Short) – Attachment

4. Approval of Common Course Rubrics/Numbers (Vice Chancellor Paula Myrick Short) – Attachment

5. Compensation Discussion (Vice Chancellor Sims) - Attachment

6. Complete College Tennessee Act (CCTA), Its Impact on Banner, and the Issue of a Single Instance (Vice Chancellor Dale Sims/Tom Danford) – Attachment

7. Status of Use of State Fiscal Stabilization Funds (SFSF) – (Vice Chancellor Wendy Thompson and Dale Sims) - Attachment

8. ARRA Audit Finding (Vice Chancellor Dale Sims) – Attachment

9. Proposed Revisions to Guideline B-060 – Fees, Charges, Refunds and Fee Adjustments (Vice Chancellor Dale Sims) – Attachment

PRESIDENTS QUARTERLY MEETING

February 2011

DATE:	Presidents Meeting (February 15, 2011)
AGENDA ITEM:	Business Intelligence Initiative (BI) Update
ACTION:	Information Item
PRESENTER:	Tom Danford

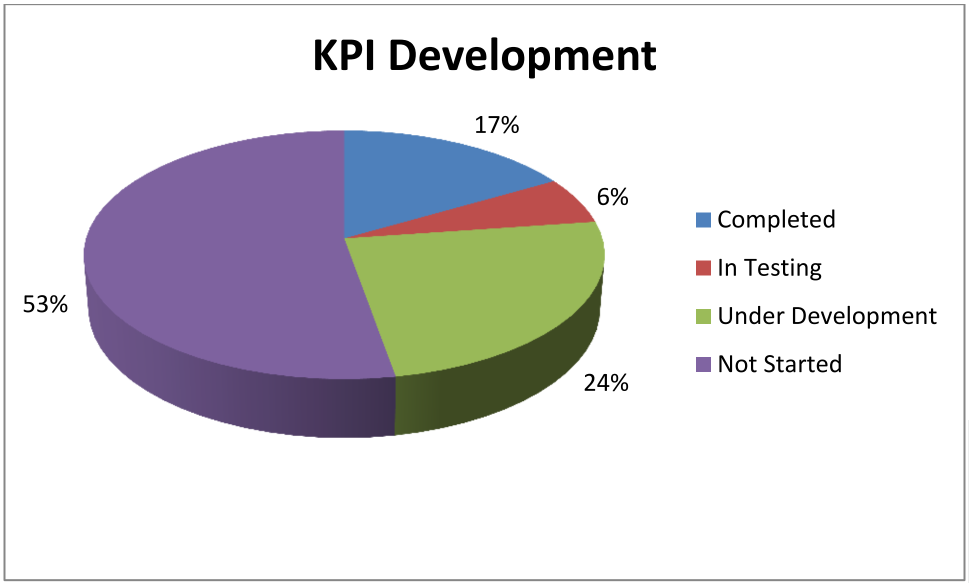
BACKGROUND INFORMATION:

Mr. Tom Danford and staff will give an update on the Business Intelligence Initiative (BI) with an up to dashboard chart.

Business Intelligence (BI) Initiative Update

02/04/11

The Business Intelligence Initiative progress to date includes five contributing schools, two universities, APSU and TSU, and three community colleges, DSCC, CoSCC, and MSCC.



Completed	30
In Testing	11
Under Development	44
Not Started	95

KPIs Tested and in Repository (Completed)

Completed Metric Category	Metric ID	Metric Title
Admissions	A3	Freshmen from top 25% of class
Access to Education - Distance Education	AE13	Distance education (e.g. satellite classes, video conference) enrollment
Access to Education - Distance Education	AE14	Distance education (e.g. satellite classes, video conference) classes
Access to Education - Distance Education	AE2	Online education classes
Business & Finance	B11	Tuition and fees or other revenues per student FTE
Business & Finance	B6	Graduate in-state tuition and fees
Development	D10	Average gift size
Development	D5	Dollars raised/development staff
Development	D6	Number of alumni donors
Enrollment	E1	Enrollment (headcount)
Enrollment	E10	Percentage of international students
Enrollment	E11	Total student body
Enrollment	E12	New freshman with less than 30 hours of credit hours
Enrollment	E2	Percentage of full time vs. part time graduate students
Enrollment	E5	Graduate enrollment
Enrollment	E7	Freshman in-state students

Business Intelligence (BI) Initiative Update 02/04/11

Completed Metric Category	Metric ID	Metric Title
Faculty and Staff	F1	Faculty headcount (total full time)
Faculty and Staff	F10	Professor salaries
Faculty and Staff	F11	Associate professor salaries
Faculty and Staff	F12	Assistant professor salaries
Faculty and Staff	F13	Percentage of tenured faculty
Faculty and Staff	F5	Faculty headcount (tenure track)
Faculty and Staff	F9	Average faculty salaries
Graduation	G2	Masters degrees conferred
Graduation	G3	Bachelor degrees conferred
Graduation	G5	Degrees granted by level or field of study (some without detail)
Graduation	G6	Percentage graduation rate at or exceeding the TBR average graduation rate
Graduation	G7	Doctoral degrees conferred
Quality of Education	Q2	Percentage of classes with 1-19 students
Quality of Education	Q3	Percentage of classes with greater than 50 students
Quality of Education	Q5	Total number of graduate degree programs offered

KPI’s Undergoing Regression Testing

Undergoing Regression Testing Metric Category	Metric ID	Metric Title
Admissions	A10	Mean transfer GPA
Admissions	A6	Freshmen SAT
Admissions	A7	Freshmen ACT
Admissions	A8	New freshmen high school GPA
Access to Education - Distance Education	AE1	Online education enrollment
Business & Finance	B1 (a) Annually	Tuition revenue
Business & Finance	B1 (b) by Term	Tuition revenue
Business & Finance	B4	Undergraduate in-state tuition and fees
Development	D1	Total alumni donation $'s
Enrollment	E3	Percentage of graduate to undergraduate students
Enrollment	E4	Freshmen enrollment

Business Intelligence (BI) Initiative Update

02/04/11

KPIs In Development

Metric Category	Metric ID	Metric Title	Assigned to
Business & Finance	B12	Educational expenses per degrees granted	APSU
Business & Finance	B14	Total financial resources per student FTE	APSU
Business & Finance	B15	Annual operating margin	APSU
Business & Finance	B16	Total financial resources to debt	APSU
Business & Finance	B2	Federal and state funding dollars	APSU
Access to Education - Financial	AE5	Percent of students with financial aid	COSCC
Access to Education - Financial	AE6	Total dollars of funding from financial aid	COSCC
Access to Education - Financial	AE8	Total financial aid award per FTE	COSCC
Enrollment	E8	Percentage of freshman class that will not require remediation	COSCC
Graduation	G1	Six year graduation rate (Scoped for CC completion of degrees in 150% of expected time)	COSCC
Graduation	G10	Four year graduation rate (Scoped for CC completion of degrees in 100% of expected time)	COSCC
Access to Educational - Financial	AE17	Lottery Scholarship recipients	COSCC has in SAS
Quality of education	Q7	Professional licensing exam pass rates	COSCC has in SAS
Quality of Education	Q1	Student/faculty ratio	COSCC has in SAS
Student Affairs	S1	Job placement	COSCC has in SAS
Athletics	AT7	Academic Performance Rate	DSCC
Quality of Education	Q4	Average class size (undergraduate & graduate)	DSCC
Quality of education	Q8	Basic skills classes offered and success rates	DSCC
Access to Education - Distance Education	AE3	Number of evening courses (offered during the week) and weekend students	DSCC
Retention	R2	First year retention rate	DSCC COSCC has in SAS
Access to Education - Distance Education	AE4	Classes offered off-campus	MSCC

Business Intelligence (BI) Initiative Update

02/04/11

Metric Category	Metric ID	Metric Title	Assigned to
Access to Education - Financial	AE7	Student debt at graduation	MSCC
Access to Education - Financial	AE9	Student tuition	MSCC
Retention	R1	Non-traditional students (NTS) retention	MSCC
Access to Educational - Financial	AE18	Average Financial Aid for Out of State Students	MSCC
Development	D12	Number of publicity/outreach efforts	TSU
Development	D16	Gift Amount by solicitation type	TSU
Development	D18	# of total of gifts-in-kind (non-cash)	TSU
Development	D2	Total endowment	TSU
Development	D18	# of total of gifts-in-kind (non-cash)	TSU
Development	D2	Total endowment	TSU
Development	D7	Rate of alumni participation in annual giving	TSU
Development	D8	Endowment balances/FT student	TSU
Development	D9	Endowment yield	TSU
Business & Finance	B5	Revenue per faculty FTE	TSU
Business & Finance	B11	Tuition and fees or other revenues per student FTE	TSU
Business & Finance	B13	Outreach program funding	TSU
Business & Finance	B8	Tuition revenue to faculty cost by department	SWCC
Business & Finance	B9	Instructional expenses per student FTE	SWCC
Enrollment	E13	K-12 in-state students who enroll in higher education	SWCC
Faculty and Staff	F14	Average load ratio	SWCC
Faculty and Staff	F20	Credit hours by program	SWCC
Faculty and Staff	F20	Credit hours by program	SWCC
Program Management	P3	Program budget per student FTE	SWCC

PRESIDENTS QUARTERLY MEETING
February 2011

DATE:	Presidents Meeting-February 15, 2011
AGENDA ITEM:	Approval of Transfer Pathways
ACTION:	Approval
PRESENTER:	Vice Chancellor Paula Myrick Short

BACKGROUND INFORMATION:

The attached document contains the transfer-path agreements reached by faculty task force groups that met in October and November 2010. Combined with the previous agreements reached in meetings from June through September 2010, a total of thirty-six (36) agreements have been reached across twenty-three (23) disciplines.

UNIVERSAL TRANSFER PATHS
TBR COMMUNITY COLLEGES TO
UT AND TBR FOUR YEAR UNIVERSITIES

Community College Area of Emphasis: Accounting A.S. Degree

General Education Requirements

Communication		9 Hours
ENGL 1010, 1020	6 Hours	
Basic Speech	3 Hours	
Humanities and/or Fine Arts (at least one course in literature)		9 Hours
Social/Behavioral Sciences		6 Hours
Economics I & II		
History		6 Hours
Natural Sciences		8 Hours
Mathematics		3 Hours
MATH 1630 Finite Mathematics		
General Education Total		41 Hours

Area of Emphasis Requirements

Principles of Accounting I & II	6 Hours
MATH 1530* Introduction to Probability and Statistics	3 Hours
MATH 1830 Calculus for Business	3 Hours
Computer Applications	3 Hours
Electives (Guided)	4 Hours
Area of Emphasis total	19 Hours
TOTAL	60 Hours

*Students who plan to transfer to the University of Tennessee, Knoxville must complete MATH 2050, Calculus-based Probability and Statistics.

Additional Information Regarding Foreign Language

At some universities, foreign language may be required in certain programs that lead to the Bachelor of Science Degree. Complete information regarding foreign language requirements at each university may be found on the transfer and articulation websites of the Tennessee Board of Regents and the University of Tennessee System. Community college students are encouraged to be familiar with foreign language requirements at the universities and, if applicable, complete the requirements before transferring.

Effective Fall 2011

UNIVERSAL TRANSFER PATHS
TBR COMMUNITY COLLEGES TO
UT AND TBR FOUR YEAR UNIVERSITIES

Community College Area of Emphasis:	Art (Studio)	A.A. Degree

General Education Requirements

Communication		9 Hours
ENGL 1010, 1020	6 Hours	
Basic Speech	3 Hours	
Humanities and/or Fine Arts (at least one course in literature)		9 Hours
Survey of Art History I & II*	6 Hours	
Literature	3 Hours	
Social/Behavioral Sciences		6 Hours
History		6 Hours
Natural Sciences		8 Hours
Mathematics		3 Hours
General Education Total		41 Hours

Area of Emphasis Requirements

Drawing I & II**	6 Hours
Two Dimensional Design	3 Hours
Three Dimensional Design	3 Hours
Studio Art Elective	3 Hours
Foreign Language (One-Year Sequence in Single Foreign Lang.)	6 Hours
Area of Emphasis total	21 Hours
TOTAL	62 Hours

*Students who attend community colleges that do not offer Art History I & II will complete these courses upon transfer to a university. These students will complete requirements in the Humanities/Fine Arts as prescribed at the community college where they are enrolled.

**Students who plan to attend East Tennessee State University or the University of Tennessee, Knoxville will complete Drawing I and a three-hour elective course in Studio Art rather than Drawing II.

Additional Information Regarding Foreign Language
Requirements for a Bachelor of Arts Degree at universities include demonstrated competency in foreign language at the intermediate level. Community college students are encouraged to attain intermediate-level competency in foreign language *before transferring.* Complete information regarding foreign language requirements at each university may be found on the transfer and articulation websites of the Tennessee Board of Regents and the University of Tennessee System. Community college students are encouraged to be familiar with foreign language requirements at the universities and, if applicable, complete the requirements before transferring.

Effective Fall 2011

UNIVERSAL TRANSFER PATHS
TBR COMMUNITY COLLEGES TO
UT AND TBR FOUR YEAR UNIVERSITIES

Community College Area of Emphasis: Agriculture-Agricultural Business A.S. Degree

General Education Requirements

Communication			9 Hours
ENGL 1010, 1020	6 Hours		
Basic Speech	3 Hours		
Humanities and/or Fine Arts (at least one course in literature)			9 Hours
Social/Behavioral Sciences			6 Hours
Economics I	3 Hours		
Economics II	3 Hours		
History			6 Hours
Natural Sciences			8 Hours
BIOL 1110	General Biology I	4 Hours	
CHEM 1110	General Chemistry I	4 Hours	
Mathematics			3 Hours
MATH 1530 Introduction to Probability and Statistics			
or			
*MATH 2050 Calculus-based Probability and Statistics			
General Education Total			41 Hours

Area of Emphasis Requirements

MATH 1830 Calculus for Business	3 Hours
Introduction to Agriculture Business	3-4 Hours
Introduction to Plant Science	3-4 Hours
Introduction to Animal Science	3-4 Hours
Agriculture Electives	3-4 Hours
General Electives	0-4 Hours
Area of Emphasis Total	19 Hours
TOTAL	60 Hours

*Students planning transfer to the University of Tennessee, Knoxville must complete MATH 2050, calculus-based probability and statistics.

Additional Information Regarding Foreign Language

At some universities, foreign language may be required in certain programs that lead to the Bachelor of Science Degree. Complete information regarding foreign language requirements at each university may be found on the transfer and articulation websites of the Tennessee Board of Regents and the University of Tennessee System. Community college students are encouraged to be familiar with foreign language requirements at the universities and, if applicable, complete the requirements before transferring.

Effective Fall 2011

UNIVERSAL TRANSFER PATHS
TBR COMMUNITY COLLEGES TO
UT AND TBR FOUR YEAR UNIVERSITIES

Community College Area of Emphasis:	Agriculture-Animal Science	A.S. Degree

General Education Requirements

Communication		9 Hours
ENGL 1010, 1020	6 Hours	
Basic Speech	3 Hours	
Humanities and/or Fine Arts (at least one course in literature)		9 Hours
Social/Behavioral Sciences		6 Hours
Economics I or II	3 Hours	
Additional Course from Approved Institutional List	3 Hours	
History		6 Hours
Natural Sciences		
BIOL 1110, 1120 General Biology I & II		8 Hours
Mathematics		
MATH 1530 Introduction to Probability and Statistics		3 Hours
General Education Total		41 Hours

Area of Emphasis Requirements

CHEM 1110, 1120 General Chemistry I & II	8 Hours
Introduction to Animal Science	3-4 Hours
Introduction to Plant Science	3-4 Hours
Agriculture Electives	3-5 Hours
Area of Emphasis Total	19 Hours
TOTAL	60 Hours

Additional Information Regarding Foreign Language

At some universities, foreign language may be required in certain programs that lead to the Bachelor of Science Degree. Complete information regarding foreign language requirements at each university may be found on the transfer and articulation websites of the Tennessee Board of Regents and the University of Tennessee System. Community college students are encouraged to be familiar with foreign language requirements at the universities and, if applicable, complete the requirements before transferring.

Effective Fall 2011

UNIVERSAL TRANSFER PATHS
TBR COMMUNITY COLLEGES TO
UT AND TBR FOUR YEAR UNIVERSITIES

Community College Area of Emphasis: Agriculture -Plant and Soil Science A.S. Degree

General Education Requirements

Communication		9 Hours
ENGL 1010, 1020	6 Hours	
Basic Speech	3 Hours	
Humanities and/or Fine Arts (at least one course in literature)		9 Hours
Social/Behavioral Sciences		6 Hours
Economics I or II	3 Hours	
Additional Course from Approved Institutional List 3 Hours		
History		6 Hours
Natural Sciences		
BIOL 1110, 1120 General Biology I & II		8 Hours
Mathematics		
MATH 1530 Introduction to Probability and Statistics		3 Hours
General Education Total		41 Hours

Area of Emphasis Requirements

CHEM 1110, 1120 General Chemistry I & II	8 Hours
Introduction to Soil Science	3-4 Hours
Introduction to Animal Science	3-4 Hours
Introduction to Plant Science	3-4 Hours
General Electives	0-2 Hours
Area of Emphasis Total	19-20 Hours
TOTAL	60-61 Hours

Additional Information Regarding Foreign Language
At some universities, foreign language may be required in certain programs that lead to the Bachelor of Science Degree. Complete information regarding foreign language requirements at each university may be found on the transfer and articulation websites of the Tennessee Board of Regents and the University of Tennessee System. Community college students are encouraged to be familiar with foreign language requirements at the universities and, if applicable, complete the requirements before transferring.

Effective Fall 2011

UNIVERSAL TRANSFER PATHS
TBR COMMUNITY COLLEGES TO
UT AND TBR FOUR YEAR UNIVERSITIES

Community College Area of Emphasis: Civil Engineering A.S. Degree

General Education Requirements

Communication		9 Hours
ENGL 1010, 1020	6 Hours	
Basic Speech	3 Hours	
Humanities and/or Fine Arts (at least one course in literature)		9 Hours
Social/Behavioral Sciences		6 Hours
History		6 Hours
Natural Sciences		8 Hours
PHYS 2110, 2120 Calculus-based Physics I & II		
Mathematics		4 Hours
MATH 1910 Calculus I		
General Education Total		42 Hours

Area of Emphasis Requirements

MATH 1920 Calculus II	4 Hours
MATH 2110 Calculus III	4 Hours
MATH 2010 Linear Algebra or MATH 2050 (Calculus-based Probability and Statistics)	3 Hours
MATH 2120 Differential Equations	3 Hours
CHEM 1110 General Chemistry I	4 Hours
Statics	3 Hours
Dynamics (Particles and Rigid Bodies)	3 Hours
Area of Emphasis total	24 Hours
TOTAL	66 Hours

Additional Information

Students are strongly encouraged to complete a course in Mechanics of Materials, also known as Strength of Materials, before transferring to a university.

Courses in engineering technology do not fulfill any of the requirements for the Area of Emphasis in Civil Engineering.

Although it is possible to complete the B.S. Degree in Civil Engineering in four semesters after earning the associate's degree, students typically need five or six semesters to complete requirements.

Effective Fall 2011

UNIVERSAL TRANSFER PATHS
TBR COMMUNITY COLLEGES TO
UT AND TBR FOUR YEAR UNIVERSITIES

Community College Area of Emphasis: Economics A.S. Degree

This pathway is designed for transfer as an Economics Major, B.S., B.B.A., or B.S.B.A. degrees, in Colleges or Schools of Business at any public university in Tennessee.

General Education Requirements

Communication		9 Hours
ENGL 1010, 1020	6 Hours	
Basic Speech	3 Hours	
Humanities and/or Fine Arts (at least one course in literature)		9 Hours
Social/Behavioral Sciences		
Economics I & II		6 Hours
History		6 Hours
Natural Sciences		8 Hours
Mathematics		3 Hours
MATH 1630 (Finite Mathematics)		
General Education Total		41 Hours

Area of Emphasis Requirements

Accounting I and II	6 Hours
MATH 1530* Introduction to Probability and Statistics	3 Hours
MATH 1830 Calculus	3 Hours
Computer Applications	3 Hours
Electives (guided)	4 Hours
Area of Emphasis Total	19 Hours
TOTAL	60 Hours

*Students who plan to transfer to UT Knoxville, College of Business, must complete MATH 2050, Calculus-based Probability and Statistics.

Effective Fall 2011

UNIVERSAL TRANSFER PATHS
TBR COMMUNITY COLLEGES TO
UT AND TBR FOUR YEAR UNIVERSITIES

Community College Area of Emphasis: Economics A.S. Degree

This Pathway is designed for transfer to an Economics Major, B.S. Degree, in the College of Liberal Arts at Middle Tennessee State University and the College of Arts and Sciences at the University of Tennessee, Chattanooga.

General Education Requirements

Communication		9 Hours
ENGL 1010, 1020	6 Hours	
Basic Speech	3 Hours	
Humanities and/or Fine Arts (at least one course in literature)		9 Hours
Social/Behavioral Sciences		6 Hours
Macroeconomics	3 Hours	
Microeconomics	3 Hours	
History		6 Hours
Natural Sciences		8 Hours
Mathematics		3 Hours
MATH 1630 Finite Mathematics		
General Education Total		41 Hours

Area of Emphasis Requirements

MATH 1530 Introduction to Probability and Statistics	3 Hours
MATH 1830 Calculus for Business	3 Hours
Computer Applications	3 Hours
General Electives	10 Hours
Area of Emphasis total	19 Hours
TOTAL	60 Hours

Additional Information Regarding Foreign Language

Complete information regarding foreign language requirements at each university may be found on the transfer and articulation websites of the Tennessee Board of Regents and the University of Tennessee System. Community college students are encouraged to be familiar with foreign language requirements at the universities and, if applicable, complete the requirements before transferring.

Effective Fall 2011

UNIVERSAL TRANSFER PATHS
TBR COMMUNITY COLLEGES TO
UT AND TBR FOUR YEAR UNIVERSITIES

Community College Area of Emphasis: Economics A.A. Degree

This pathway is designed for transfer to an Economics Major, B.A. Degree, in the College of Business and Technology at East Tennessee State University.

General Education Requirements

Communication		9 Hours
ENGL 1010, 1020	6 Hours	
Basic Speech	3 Hours	
Humanities and/or Fine Arts (at least one course in literature)		9 Hours
Social/Behavioral Sciences		6 Hours
Microeconomics	3 Hours	
Macroeconomics	3 Hours	
History		6 Hours
Natural Sciences		8 Hours
Mathematics		3 Hours
MATH 1530 Introduction to Probability & Statistics		
General Education Total		41 Hours

Area of Emphasis Requirements

MATH 1830 Calculus for Business	3 Hours
Foreign Language (One-Year Sequence in Single Foreign Lang.)	6 Hours
Electives	10 Hours
Area of Emphasis total	19 Hours
TOTAL	60 Hours

Additional Information Regarding Foreign Language

Requirements for a Bachelor of Arts Degree at universities include demonstrated competency in foreign language at the intermediate level. Community college students are encouraged to attain intermediate-level competency in foreign language *before transferring.* Complete information regarding foreign language requirements at each university may be found on the transfer and articulation websites of the Tennessee Board of Regents and the University of Tennessee System. Community college students are encouraged to be familiar with foreign language requirements at the universities and, if applicable, complete the requirements before transferring.

Effective Fall 2011

UNIVERSAL TRANSFER PATHS
TBR COMMUNITY COLLEGES TO
UT AND TBR FOUR YEAR UNIVERSITIES

Community College Area of Emphasis: A.A. Degree

This pathway is designed for transfer as an Economics Major, B.A. Degree, in the College of Arts and Sciences at the University of Memphis.

General Education Requirements

Communication		9 Hours
ENGL 1010, 1020	6 Hours	
Basic Speech	3 Hours	
Humanities and/or Fine Arts (at least one course in literature)		9 Hours
Social/Behavioral Sciences		6 Hours
Microeconomics	3 Hours	
Macroeconomics	3 Hours	
History		6 Hours
Natural Sciences		8 Hours
Mathematics		3 Hours
MATH 1630 Finite Mathematics		
General Education Total		41 Hours

Area of Emphasis Requirements

Mathematics or Natural Science (Approved Course)	3-4 Hours
Fine Arts (Approved Course)	3 Hours
Social Science (Approved Course)	3 Hours
Foreign Language (One-Year Sequence in Single Foreign Lang.)	6 Hours
Electives	3-4 Hours
Area of Emphasis total	19 Hours
TOTAL	60 Hours

Additional Information Regarding Foreign Language

Requirements for a Bachelor of Arts Degree at universities include demonstrated competency in foreign language at the intermediate level. Community college students are encouraged to attain intermediate-level competency in foreign language *before transferring.* Complete information regarding foreign language requirements at each university may be found on the transfer and articulation websites of the Tennessee Board of Regents and the University of Tennessee System. Community college students are encouraged to be familiar with foreign language requirements at the universities and, if applicable, complete the requirements before transferring.

Effective Fall 2001

UNIVERSAL TRANSFER PATHS
TBR COMMUNITY COLLEGES TO
UT AND TBR FOUR YEAR UNIVERSITIES

Community College Area of Emphasis: A.A. Degree

This pathway is designed for transfer as an Economics Major, B.A. Degree, in the College of Arts and Sciences at the University of Tennessee, Knoxville.

General Education Requirements

Communication		9 Hours
ENGL 1010, 1020	6 Hours	
Basic Speech	3 Hours	
Humanities and/or Fine Arts (at least one course in literature)		9 Hours
Social/Behavioral Sciences		6 Hours
Microeconomics	3 Hours	
Macroeconomics	3 Hours	
History		6 Hours
Natural Sciences		8 Hours
Mathematics		3 Hours
MATH 2050 Calculus-based Probability & Statistics		
General Education Total		41 Hours

Area of Emphasis Requirements

MATH 1830 Calculus for Business	3 Hours
Natural Science (Approved Course)	4 Hours
Social Science (Two Approved Courses)	6 Hours
Foreign Language (One-Year Sequence in Single Foreign Lang.)	6 Hours
Area of Emphasis total	19 Hours
TOTAL	60 Hours

Additional Information Regarding Foreign Language

Requirements for a Bachelor of Arts Degree at universities include demonstrated competency in foreign language at the intermediate level. Community college students are encouraged to attain intermediate-level competency in foreign language *before transferring.* Complete information regarding foreign language requirements at each university may be found on the transfer and articulation websites of the Tennessee Board of Regents and the University of Tennessee System. Community college students are encouraged to be familiar with foreign language requirements at the universities and, if applicable, complete the requirements before transferring.

Effective Fall 2001

UNIVERSAL TRANSFER PATHS
TBR COMMUNITY COLLEGES TO
UT AND TBR FOUR YEAR UNIVERSITIES

Community College Area of Emphasis: Geography A.A. Degree

General Education Requirements

Communication		9 Hours
ENGL 1010, 1020	6 Hours	
Basic Speech	3 Hours	
Humanities and/or Fine Arts (at least one course in literature)		9 Hours
Social/Behavioral Sciences		6 Hours
History		6 Hours
Natural Sciences		8 Hours
GEOG 1010, 1020 (Physical Geography I & II) Or GEOG 1110, 1120 (Earth Science I & II)		
Mathematics		3 Hours
MATH 1130 College Algebra		
General Education Total		41 Hours

Area of Emphasis Requirements

World Regional Geography	3 Hours
Cultural Geography	3 Hours
MATH 1530 (Probability and Statistics)	3 Hours
Foreign Language (One year sequence)	6 Hours
Electives	4 Hours
Area of Emphasis total	19 Hours
TOTAL	60 Hours

Additional Information Regarding Foreign Language
Requirements for a Bachelor of Arts Degree at universities include demonstrated competency in foreign language at the intermediate level. Community college students are encouraged to attain intermediate-level competency in foreign language *before transferring.*

Complete information regarding foreign language requirements at each university may be found on the transfer and articulation websites of the Tennessee Board of Regents and the University of Tennessee System. Community college students are encouraged to be familiar with foreign language requirements at the universities and, if applicable, complete the requirements before transferring.

Effective Fall 2011

UNIVERSAL TRANSFER PATHS
TBR COMMUNITY COLLEGES TO
UT AND TBR FOUR YEAR UNIVERSITIES

<u>Community College Area of Emphasis:</u>	Geography	A.S. Degree

General Education Requirements

Communication		9 Hours
ENGL 1010, 1020	6 Hours	
Basic Speech	3 Hours	
Humanities and/or Fine Arts (at least one course in literature)		9 Hours
Social/Behavioral Sciences		6 Hours
History		6 Hours
Natural Sciences		8 Hours
GEOG 1010, 1020 (Physical Geography I & II) or GEOG 1110, 1120 (Earth Science I & II)		
Mathematics		<u>3 Hours</u>
MATH 1130 (College Algebra)		
General Education Total		41 Hours

Area of Emphasis Requirements

World Regional Geography	3 Hours
Cultural Geography	3 Hours
MATH 1530 (Probability and Statistics)	3 Hours
General Electives	<u>10 Hours</u>
Area of Emphasis Total	19 Hours
TOTAL	60 Hours

Additional Information Regarding Foreign Language
At some universities, foreign language may be required in certain programs leading to the Bachelor of Science Degree. Complete information regarding foreign language requirements at each university may be found on the transfer and articulation websites of the Tennessee Board of Regents and the University of Tennessee System. Community college students are encouraged to be familiar with foreign language requirements at the universities and, if applicable, complete the requirements before transferring.

Effective Fall 2011

UNIVERSAL TRANSFER PATHS
TBR COMMUNITY COLLEGES TO
UT AND TBR FOUR YEAR UNIVERSITIES

Community College Area of Emphasis:	Information Systems	A.S. Degree

General Education Requirements

Communication		9 Hours
ENGL 1010, 1020	6 Hours	
Basic Speech	3 Hours	
Humanities and/or Fine Arts (at least one course in literature)		9 Hours
Social/Behavioral Sciences		6 Hours
Economics I & II	6 Hours	
History		6 Hours
Natural Sciences		8 Hours
MATH 1630 (Finite Math)		3 Hours
General Education Total		41 Hours

Area of Emphasis Requirements

Principles of Accounting I & II	6 Hours
MATH 1530 (Probability and Statistics)*	3 Hours
MATH 1830 (Calculus for Business)	3 Hours
Computer Applications**	3 Hours
General Electives**	4Hours
Area of Emphasis Total	19 Hours*
TOTAL	60 Hours*

*Students who plan to transfer to the University of Tennessee must complete MATH 2050, Calculus-based Probability and Statistics.

**Students who plan to transfer to Austin Peay State University, East Tennessee State University, and the University of Tennessee, Chattanooga must complete Computer Science I & II (Programming) instead of Computer Applications and electives. For these students, the total hours in the Area of Emphasis will be 20 Hours and total degree Hours will be 61.

Additional Information Regarding Foreign Language

At some universities, foreign language may be required in certain programs that lead to the Bachelor of Science Degree. Complete information regarding foreign language requirements at each university may be found on the transfer and articulation websites of the Tennessee Board of Regents and the University of Tennessee System. Community college students are encouraged to be familiar with foreign language requirements at the universities and, if applicable, complete the requirements before transferring.

UNIVERSAL TRANSFER PATHS
TBR COMMUNITY COLLEGES TO
UT AND TBR FOUR YEAR UNIVERSITIES

Community College Area of Emphasis: Mass Communication A.A. Degree

General Education Requirements

Communication		9 Hours
ENGL 1010, 1020	6 Hours	
Basic Speech	3 Hours	
Humanities and/or Fine Arts (at least one course in literature)		9 Hours
Social/Behavioral Sciences		6 Hours
History		6 Hours
Natural Sciences		8 Hours
Mathematics		3 Hours
General Education Total		41 Hours

Area of Emphasis Requirements

Introduction to Mass Communication	3 Hours
Media Writing	3 Hours
*Mass Communication Electives (two courses)	6 Hours
Foreign Language (one year sequence in single foreign lang.)	6 Hours
General Electives (outside Mass Communication)	1 Hour
Area of Emphasis Total	19 Hours
TOTAL	60 Hours

*Practicum courses are excluded as acceptable electives.

Additional Information Regarding Foreign Language
Requirements for a Bachelor of Arts Degree at universities include demonstrated competency in foreign language at the intermediate level. Community college students are encouraged to attain intermediate-level competency in foreign language *before transferring.*

Complete information regarding foreign language requirements at each university may be found on the transfer and articulation websites of the Tennessee Board of Regents and the University of Tennessee System. Community college students are encouraged to be familiar with foreign language requirements at the universities and, if applicable, complete the requirements before transferring.

Effective Fall 2011

UNIVERSAL TRANSFER PATHS
TBR COMMUNITY COLLEGES TO
UT AND TBR FOUR YEAR UNIVERSITIES

Community College Area of Emphasis:	Mass Communication	A.S. Degree

General Education Requirements

Communication		9 Hours
ENGL 1010, 1020	6 Hours	
Basic Speech	3 Hours	
Humanities and/or Fine Arts (at least one course in literature)		9 Hours
Social/Behavioral Sciences		6 Hours
History		6 Hours
Natural Sciences		8 Hours
Mathematics		3 Hours
General Education Total	41 Hours	

Area of Emphasis Requirements

Introduction to Mass Communication	3 Hours
Writing for Media	3 Hours
*Mass Communication Electives (two courses)	6 Hours
General Electives (outside mass communication)	7 Hours
Area of Emphasis Total	19 Hours
TOTAL	60 Hours

*Practicum courses are excluded as acceptable electives.

Additional Information Regarding Foreign Language

At some universities, foreign language may be required in certain programs that lead to the Bachelor of Science Degree. Complete information regarding foreign language requirements at each university may be found on the transfer and articulation websites of the Tennessee Board of Regents and the University of Tennessee System. Community college students are encouraged to be familiar with foreign language requirements at the universities and, if applicable, complete the requirements before transferring.

Effective Fall 2011

UNIVERSAL TRANSFER PATHS
TBR COMMUNITY COLLEGES TO
UT AND TBR FOUR YEAR UNIVERSITIES

Community College Area of Emphasis: Mathematics A.S. Degree

General Education Requirements

Communication		9 Hours
ENGL 1010, 1020	6 Hours	
Basic Speech	3 Hours	
Humanities and/or Fine Arts (at least one course in literature)		9 Hours
*Social/Behavioral Sciences		6 Hours
History		6 Hours
Natural Sciences		8 Hours
Mathematics		4 Hours
MATH 1910 Calculus I		
General Education Total		42 Hours

Area of Emphasis Requirements

MATH 1920 Calculus II	4 Hours
MATH 2110 Calculus III	4 Hours
MATH 2010 Linear Algebra	3 Hours
MATH 2120 Differential Equations	3 Hours
Programming Language	3 Hours
Electives	1 Hour
Area of Emphasis total	18 Hours
TOTAL	60 Hours

*Students who wish to pursue a concentration in actuarial science available at the University of Tennessee, Chattanooga; Middle Tennessee State University; or Tennessee State University should complete Economics I & II to fulfill the requirement in social/behavioral sciences.

Additional Information Regarding Foreign Language

At some universities, foreign language may be required in certain programs that lead to the Bachelor of Science Degree. Complete information regarding foreign language requirements at each university may be found on the transfer and articulation websites of the Tennessee Board of Regents and the University of Tennessee System. Community college students are encouraged to be familiar with foreign language requirements at the universities and, if applicable, complete the requirements before transferring.

Effective Fall 2011

UNIVERSAL TRANSFER PATHS
TBR COMMUNITY COLLEGES TO
UT AND TBR FOUR YEAR UNIVERSITIES

Community College Area of Emphasis: Physics A.S. Degree

General Education Requirements

Communication		9 Hours
ENGL 1010, 1020	6 Hours	
Basic Speech	3 Hours	
Humanities and/or Fine Arts (at least one course in literature)		9 Hours
Social/Behavioral Sciences		6 Hours
History		6 Hours
Natural Sciences		8 Hours
PHYS 2110, 2120 Calculus-based Physics I & II		
Mathematics		4 Hours
MATH 1910 Calculus I		
General Education Total		42 Hours

Area of Emphasis Requirements

MATH 1920 Calculus II	4 Hours
MATH 2110 Calculus III	4 Hours
MATH 2010 Linear Algebra	3 Hours
MATH 2120 Differential Equations	3 Hours
Programming Language	3 Hours
Electives	1 Hour
Area of Emphasis total	18 Hours
TOTAL	60 Hours

Additional Information Regarding Foreign Language

At some universities, foreign language may be required in certain programs that lead to the Bachelor of Science Degree. Complete information regarding foreign language requirements at each university may be found on the transfer and articulation websites of the Tennessee Board of Regents and the University of Tennessee System. Community college students are encouraged to be familiar with foreign language requirements at the universities and, if applicable, complete the requirements before transferring.

Effective Fall 2011

UNIVERSAL TRANSFER PATHS
TBR COMMUNITY COLLEGES TO
UT AND TBR FOUR YEAR UNIVERSITIES

Community College Area of Emphasis: Political Science A.A. Degree

General Education Requirements

Communication		9 Hours
ENGL 1010, 1020	6 Hours	
Basic Speech	3 Hours	
Humanities and/or Fine Arts (at least one course in literature)		9 Hours
Social/Behavioral Sciences		6 Hours
Economics (Macroeconomics)	3 Hours	
Approved Social/Behavioral Science Course	3 Hours	
History		6 Hours
Natural Sciences		8 Hours
Mathematics		3 Hours
MATH 1530 Introduction to Probability and Statistics		
General Education Total		41 Hours

Area of Emphasis Requirements

Introduction to American Government	3 Hours
Political Science Elective	3 Hours
Foreign Language (One-Year Sequence in Single Foreign Lang.)	6 Hours
General Electives	7 Hours
Area of Emphasis Total	19 Hours
TOTAL	60 Hours

Additional Information Regarding Foreign Language
Requirements for a Bachelor of Arts Degree at universities include demonstrated competency in foreign language at the intermediate level. Community college students are encouraged to attain intermediate-level competency in foreign language *before transferring.* Complete information regarding foreign language requirements at each university may be found on the transfer and articulation websites of the Tennessee Board of Regents and the University of Tennessee System. Community college students are encouraged to be familiar with foreign language requirements at the universities and, if applicable, complete the requirements before transferring.

Effective Fall 2011

UNIVERSAL TRANSFER PATHS
TBR COMMUNITY COLLEGES TO
UT AND TBR FOUR YEAR UNIVERSITIES

Community College Area of Emphasis: Political Science A.S. Degree

General Education Requirements

Communication		9 Hours
ENGL 1010, 1020	6 Hours	
Basic Speech	3 Hours	
Humanities and/or Fine Arts (at least one course in literature)		9 Hours
Social/Behavioral Sciences		6 Hours
Economics (Macroeconomics)	3 Hours	
Approved Social/Behavioral Science Course	3 Hours	
History		6 Hours
Natural Sciences		8 Hours
Mathematics		3 Hours
MATH 1530 Introduction to Probability and Statistics		
General Education Total		41 Hours

Area of Emphasis Requirements

Introduction to American Government	3 Hours
Political Science Elective	3 Hours
General Electives	13 Hours
Area of Emphasis total	19 Hours
TOTAL	60 Hours

Additional Information Regarding Foreign Language

Complete information regarding foreign language requirements at each university may be found on the transfer and articulation websites of the Tennessee Board of Regents and the University of Tennessee System. Community college students are encouraged to be familiar with foreign language requirements at the universities and, if applicable, complete the requirements before transferring.

Effective Fall 2011

PRESIDENTS QUARTERLY MEETING
February 2011

DATE: Presidents Meeting-February 15, 2011

AGENDA ITEM: Approval of Common Course Rubrics/Numbers

ACTION: Approval

PRESENTER: Vice Chancellor Paula Myrick Short

BACKGROUND INFORMATION:

The attached document contains the common course rubrics/numbers needed within the transfer pathways. The common course identifiers will affect only the community colleges but will be reflected in university catalogs where similar courses occur.

New Common Course Rubrics/Numbers Proposed Effective Fall 2011 (Corrected 12-15-10)

ACCT	1010	Principles of Accounting I
ACCT	1020	Principles of Accounting II
AGRI	1010	Introduction to Agricultural Business
AGRI	1020	Introduction to Animal Science
AGRI	1030	Introduction to Plant Science
AGRI	1050	Introduction to Soil Science
ARTH	2010	Survey of Art History I
ARTH	2020	Survey of Art History II
ARTP	1010	Drawing I
ARTP	1110	Two Dimensional Design
ARTP	1020	Drawing II
ARTP	1120	Three Dimensional Design
COMM	1010	Introduction to Mass Communication
COMM	1020	Media Writing
COMM	1030	Introduction to Electronic Media
COMM	2010	Radio Production
COMM	2020	Television Production
CISP	1010	Computer Science I
CISP	1020	Computer Science II
CISP	2410	Assembly and Computer Organization
CRMJ	1010	Introduction to Criminal Justice
CRMJ	1020	Introduction to the Legal Process
CRMJ	2010	Introduction to Law Enforcement
CRMJ	2020	Introduction to Corrections
ECON	2010	Macroeconomics
ECON	2020	Microeconomics
ENGR	2110*	Statics
ENGR	2120*	Dynamics
ENGR	2130*	Circuits I
GEOG	1030	Cultural Geography
GEOG	2010	World Regional Geography
INFS	1010	Computer Applications
POLS	1030	American Government
POLS	2010	State and Local Government
POLS	2020	Survey of European Governments
PSYC	1030	General Psychology
PSYC	2110	Psychology of Adjustment
PSYC	2120	Social Psychology
PSYC	2130	Life Span Psychology
SOCI	1010	Introduction to Sociology
SOCI	1020	Social Problems
SOCI	2010	Marriage and Family
SPCH	1010	Fundamentals of Speech
SWRK	2010	Introduction to Social Work
SWRK	2020	Cultural Diversity
SWRK	2030	Introduction to Social Welfare and Policy
SWRK	2040	Interviewing Skills

*Course designation applicable only to community colleges

PRESIDENTS QUARTERLY MEETING
DIRECTORS QUARTERLY MEETING
February 2011

DATE:	Presidents Meeting (February 15, 2011) Directors Meeting (February 16, 2011)
AGENDA ITEM:	Compensation Discussion
ACTION:	For Discussion
PRESENTER:	Dale Sims

BACKGROUND INFORMATION:

In January, Chancellor Morgan requested each school submit to the TBR Central Office information outlining what they saw as their most compelling compensation needs and strategies. Attached are summaries of strategies received by the Human Resources office for information and discussion purposes.

February 9, 2011

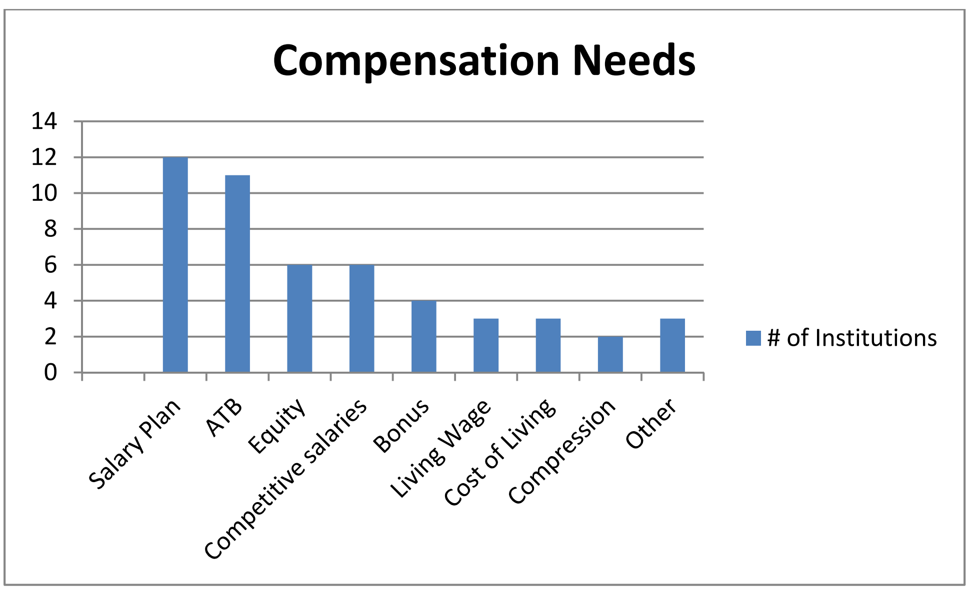
Executive Summary of Compensation Needs and Strategies of TBR Institutions

Below are the common themes submitted with respect to the compensation needs and strategies of the universities, colleges and technology centers.

*Summary of all Institutions:

- Implementation of, adjusting, or funding the institutional salary plan was the most common need. Equity adjustments were listed separately by some institutions, however at least in some cases are related to the adequate funding of the salary plans.
- Across the board increases was the second most pressing need. The lack of raises for several years combined with increases in premiums for benefits has resulted in a net decrease for many employees.
- Lack of equity increases and competitive salaries causes difficulties with recruiting and retaining the best quality faculty and staff.
- Other needs include one-time bonuses, living wage increases, cost of living increases, and problems with salary compression. A full implementation of salary plans, and/or equity adjustments, may help alleviate the salary compression.

It should be noted that while most institutions prefer the implementation or adjustment of their salary plan, an across the board increase was listed as an intermediate step to help close the gap.



*For this illustration the TTCs were summarized as one institution.

Note: in most cases multiple needs and strategies were submitted by each institution so the total will exceed the total number of institutions.

Compensation Strategies - January 31, 2011

Institution	Pressing Needs	Suggested Strategies
Austin Peay	Living Wage Adjustment Salary Equity Adjustments Compression & Inversion	Possible using internal reallocation
Chattanooga State Comm College	ATB Implementation of Salary Plan	Incentivized compensation strategy
Cleveland State Comm College	Living Wage adjustment	Accomplished w/current funds w/ Board Approval
	Cost of Living Allowance	10% increase in tuition
	Lack of updated Salary Plan	9% increase in tuition to implement 2008 salary plan and Approval of Plan
	ATB	1% increase in tuition for each 1% increase in salary - could have graduated scale giving lower paid higher %
	Bonus	1% tuition increase
Columbia State Comm College	Recruitment & Retention Fund Salary Plan	5% ATB Bonus 5% w/min $1000 for min 1 yr service
Dyersburg State Comm College	Cost of Living Adjustment	2% ATB increase
	Equity Adjustments	Revised Salary Plan - to be presented at March Board Meeting
East Tenn State University	ATB Salary Equity Plans	up to 3% ATB Above 3% salary equity
Jackson State Comm College	Employees below min of pay grade only 42% are at least 90% of target Recruitment & Retention due to salary	Increase tuition using a designated amt of the funds for salaries

Middle Tennessee State University	Living Wage Adjustment 2% ATB Increase salary ranges Market & Equity Increases in accordance with Pay One-time Bonus-prorated for PT ees	
Motlow State Comm College	Graduated ATB based on salary Market issues within Pay Plan	Increases funded by State Increases funded 50% by State, 50% by sustained enrollment Increases funded by sustained enrollment of institution
Nashville State Comm College	Implementation of Salary Equity Model up to $500,000 equity adjustments	3.9% COLA Internal allocations available to support plan
Northeast State Comm College	3% ATB Recruitment and Retention	ATB
Pellissippi State Comm College	ATB Equity Adjustments	2% ATB
Roane State Community College	ATB	5% Increase w/3% ATB 3%ATB, 2% ATB w/Bonus 3% ATB
Southwest Tennessee Comm Colleg	Offer competitive salaries Cost of Living Adjustments	develop compensation methodologies linked to strategic goals and outcomes, not longevity and education
Tennessee State University	Implementation of Salary Plan	Unlikely w/o state $
Tennessee Tech University	Competitive Salaries Salary Plan	ATB Market based/equity issues
TTCs	ATB Bonus	1-4% ATB increase

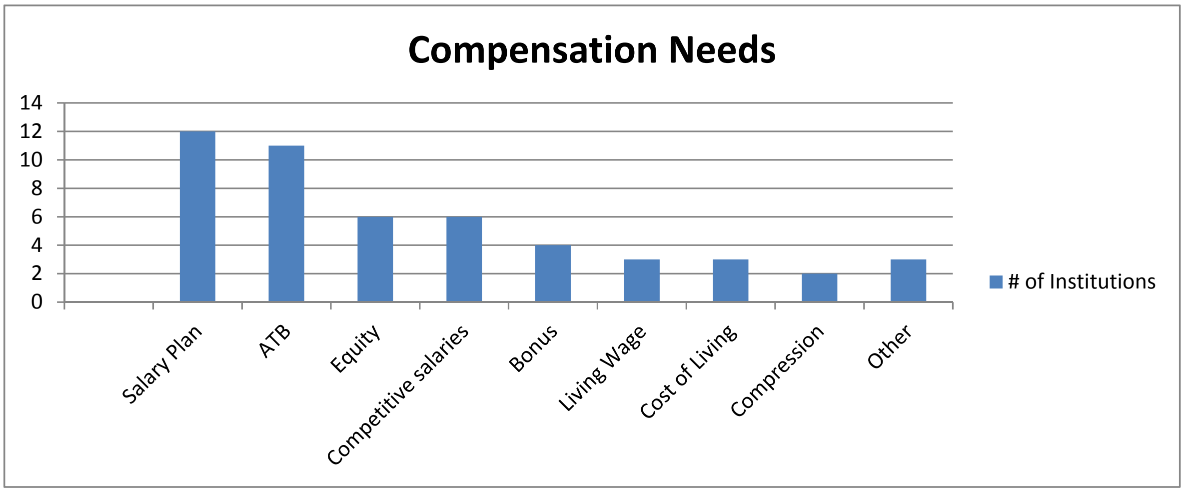
University of Memphis	Retain experienced faculty Salary Inequities Salary Compression Maintain Competitiveness	Recurring Funding for ATB, merit and equity increases - flex to increase tuition/fees if no state appropriations Non-recurring funds for bonuses - combo of state and insitution funding
Walters State Comm College	Implementation of Salary Plan ATB	Use ATB to help with deficits in salary plan Expenditure reducitons, new revenue sources, fee increases or special appropriations
Volunteer State Comm College	Implementation of salary plan 4% ATB Outside review of specialized areas for recruitment Quarterly Bonus	Institutional funds
TBR-Central Office	lack of posn funding ATB equity increases Implementation of salary plan	

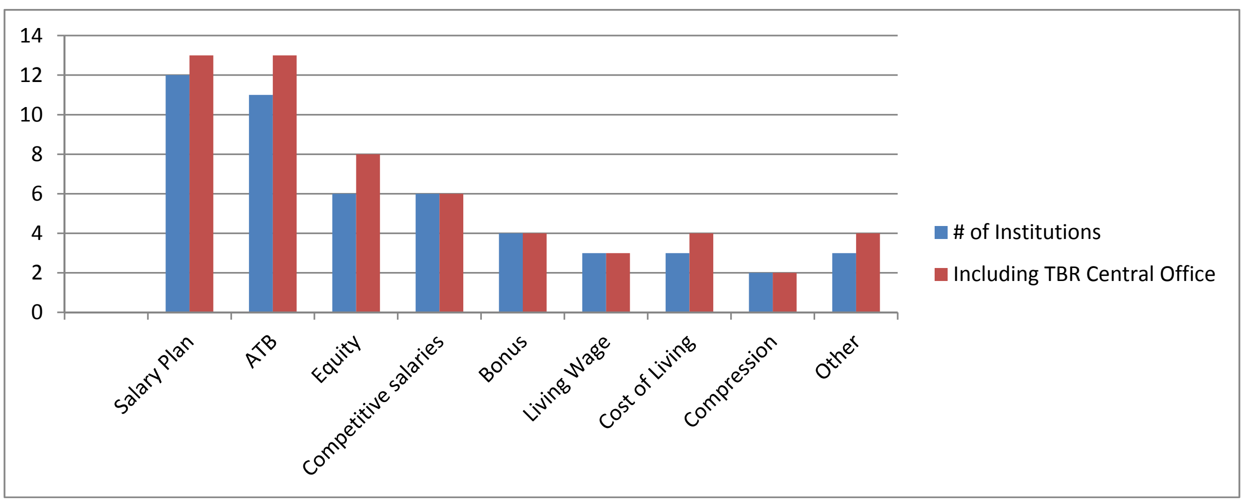
Technology Centers
Recommended Increase

	1%-3% ATB	One-Time Bonus	TTC Equity Package	Other	Other Description/Comments
Athens	-	-	-	-	No salary adjustment recommended
Chattanooga	4%		No*		*We are already at 100% and therefore if this becomes the plan for the TTC's, we would request an exception to do an ATB.
Covington	3%	1,000			3% ATB effective 7/1/11 **or** 1,000 per employee effective immediately
Crossville	3%	2,000			One time bonus if ATB increase is not possible
Crump	3%				
Dickson	3%				Our equity plan needs to be updated for COL (distributed to Directors) and we need to see what it would take to get everyone at 85% or better of Target
Elizabethton	3%				A 3% ATB salary increase would cost TTC-E about $64,000
Harriman	2%				Time to update/revisit an equity study.
Hartsville	1%				Would require minimal tuition increase for students. 1%= approx. $17,000 2%=approx. $36,000 and 3%+ approx. 52,000
Hohenwald	1%	In salary	Yes	Yes	Option to offer the Asst. Directors, up to a 10% raise; give the directors discretion of this option. The Asst. Directors did not receive raises when the Directors salaries were increased , nor as faculty salary ranges.
Jacksboro	2%	500			First Choice is 2% ATB, 2nd choice is one-time pay
Jackson	1%	1,000			
Knoxville	2%				I went with 2% ATB if we were in regular times and employees had been getting salary increases I would have went with equity the package. But I feel some employees would get nothing and others might get substantial amounts. I feel for morale purposes it is important at this time for all employees to get at least some amount.
Livingston		750			One Time Bonus
McKenzie	3%				
McMinnville	3%				$20,370
Memphis	3%				
Morristown	2%				CPI for past three years--3.8%; 2.8%; and -.4%.
Murfreesboro		1,000			One time bonus from R and R for all full time employees

Nashville	2%				
Newbern	2%				Total cost of increase would be approximately $16,500 plus benefits.
Oneida		300-500			We are open to a one time bonus in the range of $300 to $500 and even this would be difficult for our budget to absorb.
Paris	3%				
Pulaski	3%				
Ripley	2%				$15,200 (includes benefits impact)- Predicated on Ripley continuing to have a split Director's salary and continuous enrollment
Shelbyville	X			X	3% ATB raise for employees salary $30,000 or less; 1% ATB for employees salary of $31,000 or more
Whiteville	3%				
Total					

Strategy	# of Institutions		Including TBR Central Office
Salary Plan	12		13
ATB	11		13
Equity	6		8
Competitive salaries	6	Includes recruitment & Retention	6
Bonus	4		4
Living Wage	3		3
Cost of Living	3		4
Compression	2		2
Other	3		4





PRESIDENTS QUARTERLY MEETING
February 2011

DATE: Presidents Meeting (February 15, 2011)

AGENDA ITEM: Complete College Tennessee Act (CCTA), Its Impact on Banner, and the Issue of a Single Instance

ACTION: For Discussion

PRESENTER: Dale Sims & Tom Danford

BACKGROUND INFORMATION:

As enacted the CCTA has three mandates that have both repercussions and opportunities for TBR's distributed administrative software system, Banner, specifically as it relates to community colleges. The first requirement being to provide a "common student experience" would seem to require a standardization of business processes across the community college system which will impact Banner directly. The second requirement where funding is "based in part on student success and outcomes, including higher rates of degree completion" would indicate a need to have an authoritative data management environment with complete and consistent data metrics for measuring outcomes. Finally, the mandate for the system to achieve significantly improved and more cost effective performance would signal a need to explore consolidating administrative software that is presently located on community college campuses into a single instance, which could facilitate and make possible the first two requirements.

At its June 2009 meeting, the Board adopted a principle that the community college system should operate the Banner application in a single instance environment. Since then, we have examined various methods to engage in an orderly review of migrating to a single instance. We have been mindful of a commitment made by Chancellor Manning and Chancellor Morgan to utilize an inclusive process, engaging with institutional staff in a careful examination of the implications of operating within a single instance environment. We have also focused on options that minimize any procurement and contracting implications.

Our thinking on how to proceed has been influenced by the announcement last Fall of additions to the functionality of baseline Banner. This enhancement, known as Multiple Entity Processing or MEP, holds the promise of facilitating community colleges operating in a single instance environment. This functionality is planned to be available in Spring 2011 as part of the release of Banner 8.5. As a first step, it seems appropriate to use this new MEP functionality as our straw man proposal, analyzing its potential use to uncover the benefits and challenges of a single instance environment.

We have had several discussions with SunGard representatives about a process to examine the potential use of MEP to meet the Board's directive. Sungard has submitted a proposal to engage in a Business Process Analysis "discovery" process. In this process, a standard methodology would be used by SunGard consultants to facilitate discussions with functional staff from TBR community colleges centered on the variety of business processes supported by Banner. Materials related to this proposal as well as sample reporting are attached. This methodology has been use at several higher education institutions to achieve similar ends, but on a smaller scale. Institutions using this Sungard led process include Chicago State University, Collin County Community College District, Cuyahoga Community College, Old Dominion University, and the University of Tennessee. The end product of this Business Process Analysis is a report that that identifies best practice for processes, the change required to achieve best practice, and how best practice can be folded into the Banner baseline product. This report also outlines the business case for or against proceeding. At the end of the discovery phase, we should know whether operating within a single instance environment makes sense was well as the effort and cost associated with moving forward with implementation.

Based on our work so far, use of SunGard to explore the single instance question seems to be our best option. It permits an orderly examination of existing processes, identifies opportunities for improvements and standardization, and is very consultative by its nature. In terms of procurement, we can contract for these services through use of our existing order form process that is a feature of the SunGard contract. Funding for this engagement can be covered through a combination of grant funds and use of central office reserves. The only commitment required from community colleges would be the cost of making functional staff available for meetings with SunGard consultants.

At the conclusion of the Business Process Analysis, information should exist that permits a reasoned decision on the degree to which the Board's "single instance" directive can be met and at what level of effort.

Attachments (3)

- Summary of Proposed TBR Business Process Assessments With Multi-Entity Processing Focus
- Sample Student Business Process Modeling Report of Findings and Recommendations
- Managing Student Billing And Collections Process Overview

SUNGARD®
HIGHER EDUCATION

Summary of Proposed TBR
Business Process Assessments
With Multi-Entity Processing Focus

December 5, 2010

Business Process Modeling & Multi Entity Processing Discovery

Business Process Modeling Summary

The SunGard Higher Education business process modeling method looks at business processes in relation to enterprise needs and market demands to enable the achievement of enhanced levels of performance. Technology is not sufficient to create improvement in performance; people and process must also be aligned with an eye toward both enterprise goals and technology capacity to achieve the greatest benefit. SunGard Higher Education utilizes a systematic approach to help customer teams identify needs and requirements, improve processes, and document possible organizational readiness issues in order to be well positioned to utilize new and existing technologies. In addition, this method supports the identification of opportunities for achieving enhanced process efficiencies.

Multi Entity Processing (MEP) Summary

Multi Entity Processing (MEP) provides the cability to operate multiple independent organizations within the same physical Digital Campus environment. The MEP facility implements a logical separation of data – using the organizational domain boundary as a data visibility scoping mechanism. This creates the opportunity to operate multiple organizations in a single physical computing environment offering the potential for significant savings in Digital Campus infrastructure and operating costs.

SunGard Higher Education proposes a Multi Entity Processing Discovery and Business Case Development engagement to document the costs and benefits of implementing a MEP facility at TBR. The scope of the business case would encompass the transfer of the existing TBR Digital Campus ERP environment from the current 13 distinct Digital Campus implementations (and 1 System Office) across the TBR organization to a single MEP facility that provides equivalent or improved services to TBR customers and stakeholders.

Why SunGard Higher Education

SunGard Higher Education is well positioned to provide business process modeling services and a MEP assessment for TBR. As the developer and only provider of Banner Solutions, no one has a better understanding of higher education's business processing requirements and capabilities available when using the Banner Solution. In addition, our knowledge and history of working with TBR, as well as SunGard Higher Education's understanding of TBR's polices and procedures gives SunGard Higher Education unique insight into TBR's desired solution. SunGard Higher Education's experienced enterprise architects and subject-matter experts utilize a systematic approach to help educational and business teams identify requirements and improve processes

© 2010 SunGard Higher Education - Confidential & Proprietary

in order to make good use of their new systems. We will introduce best practice solutions as appropriate to TBR's needs and business objectives.

Stages of the Project

Business Process Modeling focuses on three core activities:

- **Process prioritization** identifies, validates and prioritizes key enterprise processes within the context of the organization's strategic goals and objectives.
- **Process planning and alignment** selects processes for modeling, identifies stakeholders and participants in modeling activities, and schedules the business process modeling workshops.
- **Future State / Ideal State Process modeling** redesigns the prioritized processes that span the academic and business enterprise, drawing together the appropriate people and technology to support the design of an ideal state process.

The MEP Discovery and Business Case Development engagement will be composed of the following sequence of activities:

- **Strategic Discovery** – A discovery of the Organization Strategies, Imperatives and Intiatives that are drivers for the implementation of a Digital Campus MEP facility.
- **Current State Discovery –** A discovery and analysis of the TBR Digital Campus implementation current state inclusive of: Operating Costs, Operating Performance, and Customer / Stakeholder Satisfaction.
- **Opportunity Discovery –** A discovery of the opportunities that the implementation of a Digital Campus MEP facility will create.
- **Enterprise Architecture Vision** – A Future State view of the Enterprise Architecture (Business and Technical) that could be deployed at TBR via a Digital Campus MEP facility.
- **Impact Analysis –** The identification and analysis of the organizational and technical change management requirements necessary to support the implementation of a Digital Campus MEP facility.
- **Business Case Development –** A cost factor analysis and benefits identification that presents the net benefit of implementing a Digital Campus MEP facility.

High Level Project Activities

Multi Entity Processing (MEP) Discovery Assessment (160 hours)

SunGard Higher Education will provide the following services to develop a business case for the introduction of a Digital Campus MEP facility at TBR. SunGard Higher Education will be responsible for coordinating the resources and schedules for the services.

© 2010 SunGard Higher Education - Confidential & Proprietary

- A SunGard Higher Education Enterprise Architect will conduct a strategic discovery to document the organization business strategies, imperatives and initiatives that motivate TBR to evaluate the use of MEP. This discovery activity will focus on how the introduction of a Digital Campus MEP facility to the existing TBR ERP environment will satisify the organization strategies, address the critical imperatives, and support the strategic initiatives of the organization. The strategic discovery will engage with the TBR organization across the following areas:

  - Advancement
  - Finance
  - Human Resources
  - Student – Accounts Receivables, Registration, Records, and Academics, Admissions and Recruiting, and Financial Aid
  - Ancillary support processes
  - Data Integration, Web Self Service, Portal and Portal Related Services
  - Learning Management Systems
  - Process Automation
  - Business Intelligence

A SunGard Higher Education Enterprise Architect will conduct a current state discovery to document the current operating costs, performance levels, and customer / stakeholder satifisfaction with the current operating environment. Finally, A SunGard Higher Education Enterprise Architect will conduct an opportunity discovery to document the opportunities that a MEP facility will provide to the organization.

Business Process Modeling Summary (1840 hours)

A SunGard Higher Education Enterprise Architect and a Subject Matter Expert will conduct a business process prioritization session for the key processes within an each functional area to be modeled. The functional areas to be modeled are:

- Advancement (240 hours)
- Finance (240 hours)
- Human Resources (240 hours)
- Student – Accounts Receivable (230 hours)
- Student – Registration, Records, and Academics (230 hours)
- Student – Admissions and Recruiting (230 hours)
- Student – Financial Aid (230 hours)
- Overall Final Analysis and Recommendations Consolidation and Presentation (200 hours)

© 2010 SunGard Higher Education - Confidential & Proprietary

SunGard Higher Education staff will conduct an **ideal state analysis** for the prioritized business processes. The modeling sessions are structured so that the group reviews, discusses, and develops the process from a strategic point of view in order to:

- Define the process;
- Identify critical issues, inefficiencies and impacts of the process as managed in its current state (which will serve as discussion inputs to process prioritization);
- State the goals and expected outcomes of the process in its ideal state;
- Identify any gaps that may exist between the ideal state of the process and the delivered functions embedded in the technology to be implemented. Provide suggested work-arounds or other alternatives to satisfy the ideal state process requirements;
- Align and map the process to the organization's strategic goals;
- Identify who should be involved in the process;
- Identify the technology support required to implement the process;
- Define metrics for success;
- Identify what initiatives, steps, and action items need completion to implement the business process; and
- Identify transition steps that can be made (serving as milestones) to achieve the ideal state.

SunGard Higher Education staff will conduct ideal state process mapping designed to clearly and visually identify the people and technology used to support the process, as well as any related processes that would be impacted by or will impact the ideal state process. Process flows will detail, as necessary, those steps that are digital campus solution specific

Planned Deliverables

SunGard Higher Education will develop and provide the following deliverables related to the Business Process Modeling activities:

- A **process summary and finding report** detailing the processes, their ideal state objectives, and transition state objectives, initiatives, and action items.
- **Ideal state business process models** for each of the modeled processes which:
  - Outline the high level steps, initiatives, tasks, and procedures that should be involved in the overall process;
  - Identify who should be responsible for completing each identified item;
  - Specify what digital campus applications are necessary to support the implementation of the process;
- An **enterprise process portfolio** which presents the organization's applications and key processes; the applications that provide support for the process; and the mapping of processes and people and technology that support the process.

© 2010 SunGard Higher Education - Confidential & Proprietary

- A **process overview** that outlines the process, addresses any gaps, and provides recommendations for process improvement and ideal state realization.
- A **master task log** that list all identified tasks, action items, and initiatives to facilitate the tracking, management, and successful completion of each identified task.

The Business Process Model deliverables will be used to support the following activities:

- Process Configuration at the ERP solution and enterprise level;
- Policy and procedure development
- Identify Action Items and Initatives to be completed in order to successfully implement the ideal state
- Process-based training;
- Selection of data integration targets;
- Identify user interface and portal service requirements;
- Identify reporting requirements;
- Identify organizational readiness requirements; and
- Ongoing maintenance of the business processes.

SunGard Higher Education will develop and provide the following deliverables related to the Multi Entity Processing (MEP) activities:

- **Enterprise Architecture Vision for the use of a MEP facility at TBR**. The Enterprise Architecture Vision will describe the future state business and technical architectures and that value that they will provide to TBR stakeholders.
- **Impact Analysis** that will identify the organizational and technical change management requirements necessary to support the introduction of a MEP facility and the Enterprise Architecture Vision.
- **Business Case for the introduction of a MEP facility at TBR**. The Business Case will document the costs avoided, costs incurred, and benefits that will be realized through the introduction of a MEP facility.

Suggested TBR Resource Commitments

At least one representative from each of the areas below should be available (each session usually ranges from 8-15 attendees). SunGard Higher Education consultants will work with TBR to identify the specific attendees for each process. Each process discussion typically requires three to four hours of discussion and may include a separate set of attendees.

Advancement: Prospect Research Coordinator, Development Officers, Information Technology representatives, Advancement Records representatives, Corporation Foundations Office, Grants Administrators from Finance, Publications Department representatives, University Foundation representative, Business Office, and Information Technology representative

© 2010 SunGard Higher Education - Confidential & Proprietary

Finance: Accounting Personnel who work with the Operating and General Ledgers, Cashiering, Budget Office, Payroll, Information Technology representative, Department Budget representative, Central Receiving Department personnel, Accounts Payable personnel, Accounting personnel, Fixed Assets Manager and/or support personnel, Purchasing Department personnel, and Central Receiving Department personnel

Financial Aid: Financial Aid Office, Admissions Office, Business Office, Human Resources, Institutional Research representative, Information Technology representatives, Athletics, offices that make changes that may affect students' eligibility (e.g., Admissions, Registrar/Records Office, Business Office, Foundation, Veteran's Office, Job Placement), Institutional Research representative, Information Technology representative

Human Resources: Human Resources personnel; Finance Office staff handling budgeting and salaries; Institutional Research or persons responsible for reporting on recruiting information; hiring managers representing departments doing volume hiring; Academic departments responsible for recruiting and hiring full-time faculty and adjuncts; campus personnel who may need to be notified as a result of a new hire (Security, Facilities, Parking, Business Office, etc.), Information Technology representatives, Payroll personnel

Student Accounts Receivable: Business Office (Student Accounts) and/or Cashier, other campus offices that generate billings or receivables, e.g., Housing, Meal Plan, Registrar/Records Office, Business Office personnel who handle third party payments, Financial Aid Office representative(s), IT representatives

Student – Recruiting and Admissions: Admissions Office, International Office, Business Office and/or Cashier, Academic Department representative(s), Financial Aid Office, Registrar/Records Office, Student Services areas, e.g., Residence Life, Institutional Research, Enrollment Planning, Information Technology representatives

Student - Registration and Records Management: Registrar's Office, Academic Department representative(s) and/or Curriculum Committees and approvers, Marketing or Publications representative, Information Technology representatives, Graduate and Professional School representative (if appropriate, see above), Graduation Committee representative, Business Office or personnel involved in graduation fees collection and placing holds, and Institutional Research

© 2010 SunGard Higher Education - Confidential & Proprietary

Proposed TBR Business Process Assessment High-Level Timeline

Phase	Start	Finish	Duration	Jan 2011 / Feb 2011 / Mar 2011 / Apr 2011 / May 2011 / Jun 2011 2/1, 9/1, 16/1, 23/1, 30/1, 6/2, 13/2, 20/2, 27/2, 6/3, 13/3, 20/3, 27/3, 3/4, 10/4, 17/4, 24/4, 1/5, 8/5, 15/5, 22/5, 29/5, 5/6
MEP Discovery Assessment	1/17/2011	2/18/2011	5w	
Business Process Prioritization	1/24/2011	2/4/2011	2w	
Student A/R Business Process Assessment	2/28/2011	3/25/2011	4w	
Student Registration Business Process Assessment	3/7/2011	4/1/2011	4w	
Student Admissions/ Recruiting Assessment	3/14/2011	4/8/2011	4w	
Financial Aid Business Process Assessment	3/21/2011	4/15/2011	4w	
Finance Business Process Assessment	3/28/2011	4/22/2011	4w	
Human Resources Business Process Assessment	4/4/2011	4/29/2011	4w	
Advancement Business Process Assessment	4/11/2011	5/6/2011	4w	
Deliverable Preparation	5/9/2011	5/20/2011	2w	
Business Process Findings Presentation	5/23/2011	5/27/2011	1w	

© 2010 SunGard Higher Education - Confidential & Proprietary

SUNGARD® HIGHER EDUCATION

SAMPLE Student Business Process Modeling Report of Findings and Recommendations:

For the Identified Registration and Records Process

Confidential Business Information

This documentation is proprietary information of SunGard Higher Education and is not to be copied, reproduced, lent or disposed of, nor used for any purpose other than that for which it is specifically provided without the written permission of SunGard Higher Education.

Prepared By:
SunGard Higher Education
4 Country View Road
Malvern, Pennsylvania 19355
United States of America

In preparing and providing this publication, SunGard Higher Education is not rendering legal, accounting, or other similar professional services. SunGard Higher Education makes no claims that an institution's use of this publication or the software for which it is provided will ensure compliance with applicable federal or state laws, rules, or regulations. Each institution should seek legal, accounting and other similar professional services from competent providers of the institution's own choosing.

Without limitation, SunGard, the SunGard logo, Banner, Luminis, PowerCAMPUS, Matrix, and Plus are trademarks or registered trademarks of SunGard Data Systems Inc. or its subsidiaries in the U.S. and other countries. Third-party names and marks referenced herein are trademarks or registered trademarks of their respective owners.

© 2010 SunGard. All rights reserved

Table of Contents

© **2010** SunGard Higher Education - Confidential & Proprietary

© **2010** SunGard Higher Education - Confidential & Proprietary

1. Executive Summary

Focusing on a process-based approach to the implementation, the Business Process Modeling workshop and strategy planning sessions were conducted by the Strategic Consultant within SunGard Higher Education's Enterprise Architecture and Strategic Services division. In addition, the Subject Matter Expert from SunGard Higher Education. Business Process Modeling is designed to develop the ideal or future state management of a process using the institution's current state processes and strategic goals / initiatives as inputs. Furthermore, the BPM workshop seeks to strategically align the institutions core business processes with the university's main goals, objectives, and/ or focus areas in order to develop a roadmap regarding how each core process should be managed in the "Future State" using the right **people**, **processes**, and **technology**.

The Future State models that were created as a result of our work with the session participants and team leads are to be used as guides by both SGHE consultants working with the institution, as well as by the project team and end-users. These models will serve as the foundation to the training and education plans, as well as the process and procedure documents that evolve out of the implementation. These models should continue to grow with Sample University. As any of the inputs to the business process models change (i.e. people, processes, and / or technology) or should the strategic focus of the Sample University change, it will become necessary to review and amend these models in order for them to always remain current with the Future State in mind.

One of the foundations to the Business Process Modeling session is the institution's strategic priorities and initiatives derived from the project. There are 4 strategic priorities and 25 initiatives supporting their plan, which include:

NOTE: These are sample strategic priorities and initiatives taken from a sample strategic plan

Managing Enrolment Growth

- Develop and implement new programs to ensure a balance of credentials that are responsive to market needs
- Increase student retention, particularly from 1st to 2nd year
- Develop and implement pathways between credentials
- Develop and implement a new marketing plan
- Increase international enrolment and transfer agreements
- Increase programs and services for internationally trained professionals and immigrants
- Increase physical space to accommodate growth

Commitment to Teaching and Learning Excellence

- Enhance teaching skills through professional development
- Increase student engagement in the learning process
- Develop Centres of Excellence
- Continually update equipment and facilities

© **2010** SunGard Higher Education - Confidential & Proprietary

- Develop and implement an applied research strategy
- Increase distance learning opportunities to support student choice in learning modes
- Launch a full program review schedule
- Increase international academic partnerships
- Design and launch the Study Abroad Program

Commitment to Human Resource Planning and Professional Development

- Update succession plans throughout the organization and provide appropriate development plans for successors
- Recruit and retain faculty and staff with appropriate credentials, experience and core values
- Enhance faculty and support staff credentials specific to their disciplines

Commitment to High Quality Services to Support Student Success

- Develop and implement an information technology multi-year strategic plan that maximizes learning and improves key business processes
- Enhance academic advising
- Create a consistently positive campus experience for students
- Expand orientation activities to increase participation in social engagement
- Develop alumni relationships
- Increase financial support through scholarships and bursaries

Based on this foundation, future state models were developed for the following Sample University business processes:

- Advising Students
- Auditing and Awarding Degrees
- Registering Students
- Creating and Managing the Course Catalogue
- Creating and Managing the Class Schedule (Timetable of Classes)
- Creating and Managing Programs and Curriculum (Certifications)

Process Prioritization

As part of the engagement model, participants had the opportunity to assist in prioritizing existing business state models that impact admissions and student enrollment. The business models were evaluated by the Sample University Project Team for level of strategic importance of process to the business area (using a Likert scale), the current level of efficiency of current process and a difference value between these two measures (called a Process Gap). The outcome was a prioritized listing of those Student "Registration and Records" business processes that allowed the team to quantitatively measure the importance, efficiency and perceived process gap.

The chart on the following page displays the summary of those results.

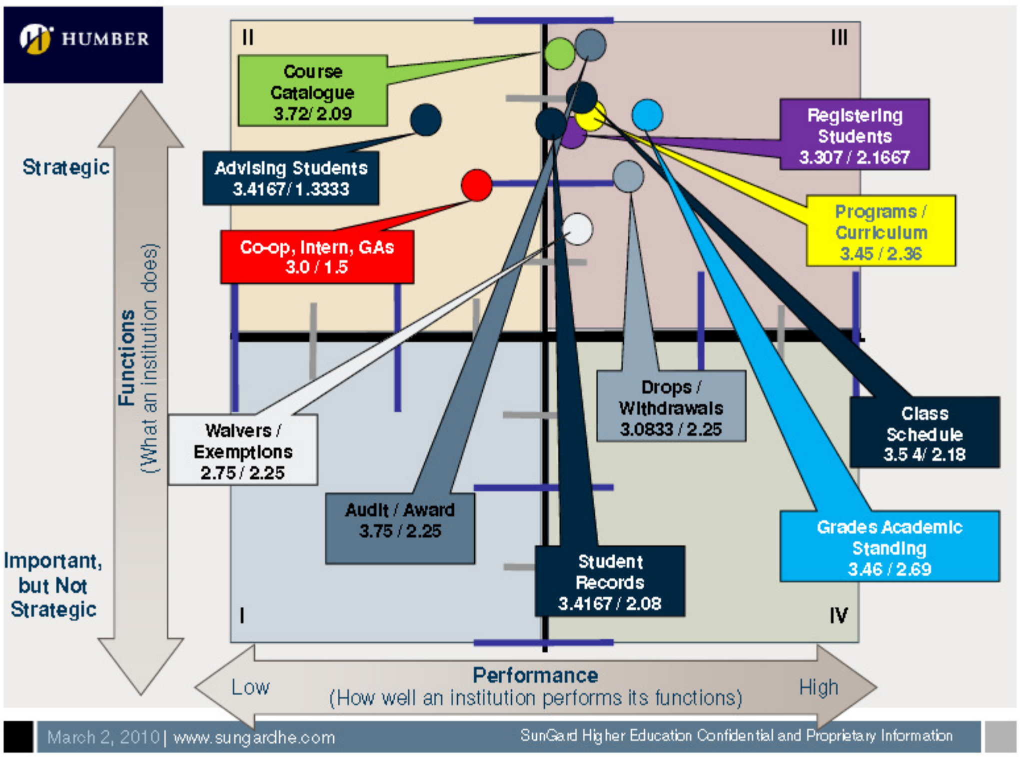
© 2010 SunGard Higher Education - Confidential & Proprietary

Process	**Level of Strategic Importance***	**Level of Current Performance****	**Process Gap*****
Advising Students	3.41	1.33	2.08
Creating and Maintaining the Course Catalogue	3.72	2.09	1.63
Auditing and Awarding Degrees	3.75	2.25	1.5
Managing Co-ops, Internships, and Graduate Assistantships	3	1.5	1.5
Creating and Maintaining the Class Schedule	3.55	2.18	1.37
Managing and Updating Student Records	3.26	2.08	1.18
Registering Students	3.3	2.17	1.13
Creating and Managing Programs and Curriculum (Certifications)	3.45	2.36	1.09
Managing and Processing Student and Course Drops and Withdrawals	3.08	2.25	0.83
Processing Grades and Managing Academic Standing	3.46	2.69	0.77
Managing and Processing Course Waivers and Substitutions	2.75	2.25	0.5

Legend	
*	Likert Ranking (1 to 4), 4 being most important
**	Likert Ranking (1 to 4), 4 being most efficient / performing
***	Difference between Level of Strategic Importance and Level of Current Performance

© **2010** SunGard Higher Education - Confidential & Proprietary

The figure below depicts how each process ranked strategically and performance-wise on the strategic framework quadrant based graph. Each participant who attended the session completed the scoring of each process. Prior to voting, participants identified the critical issues currently facing each process, as well as how these processes impact the institution. The value of each process in its ideal state was also identified.



Registration and Records Prioritized Processes

© **2010** SunGard Higher Education - Confidential & Proprietary

During each Future State process planning and analysis session, participants were asked to identify the following:

How should the process be defined?

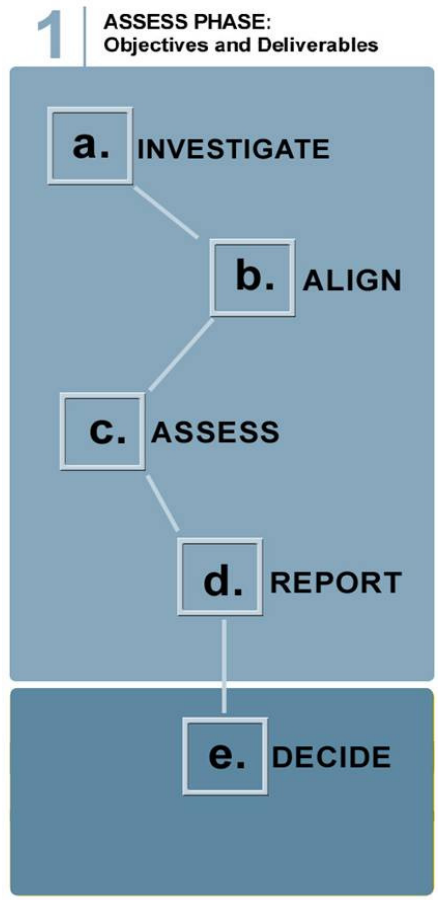
- What other strategic initiatives / focus areas should the process support?
- What are the desired outcomes and / or goals of the process in its Future State?
- What metrics will be implemented in order to measure the success of each outcome of the process in its Future State?
- Who should ideally be aligned with the process (i.e. has a task or role in the process…people, departments, etc…)?
- What technology is necessary in order to help manage the process in its Future State?
- What other processes will be impacted as a result of the process being analyzed?
- How should the process begin? What other processes should precede, as well as follow the process being analyzed?
- What transition steps, action items, and / or initiatives must be taken and / or decisions made in order to achieve the Future State for the business process?

Recommended ideal state models were presented and discussed along with a sample demonstration of how Sample University's solutions would work together to aid in managing each process. This allowed participants to provide input and feedback regarding how each process need to function in its future state to support the Sample University's strategic goals, mission, culture, and environment. The process models that follow represent a combined "best practice" approach of SunGard Higher Education recommendations and Sample University needs, direction, policies and vision. The complete list of process flows, observations and recommendations are provided in greater detail in a separate section of this report.

© 2010 SunGard Higher Education - Confidential & Proprietary

2. About the BPM Report and Deliverables

2.1 Purpose of this document



This document is entitled "Sample University – Student Registration and Records Business Process Modeling - Report of Findings and Recommendations," and it is designed to be an ideal practice approach to managing the processes identified and developed during the on-site Business Process Modeling workshops. Also, this report will contain a chart depicting the current state, transition initiatives, and Future State for each process, as well as an observation of the current state and any identified solution functionality gaps and recommended alternatives for each process Furthermore, this report is to be used in conjunction with the following additional deliverables:

The Sample University Enterprise Application Portfolio Matrix: This spreadsheet is designed to show the alignment between each of the process mapped during the BPM workshops and the UDC solutions, People, and Strategic Goals / initiatives / focus areas to which the process should support in the Future State. The Matrix is divided into three worksheets:

- **Process Application Matrix:** Reflects each of the solutions that were identified by Enrolment Management and Accounts Receivable / Finance staff members attending the sessions as "needs" in completing the process. These reflect SunGard HE and non- SunGard Higher Education solutions, as well as solutions that the Sample University may or may not have purchased.
- **People Application Matrix:** Reflects the alignment of each process and the people / departments / areas that the Future State process impacts or should include. These people / departments / areas were identified by the {Insert Name of Process Here} staff members attending the sessions
- **Strategic Goal – Process Alignment Matrix:** Reflects those strategic goals and / or focus areas that were identified within the Delta Initiatives, as well as by staff members attending the sessions as being aligned with the process. These goals, initiatives, and / or focus areas should serve as inputs to the Institution's strategic plan.

© 2010 SunGard Higher Education - Confidential & Proprietary

The Sample University Registration and Records BPM Process Flows: A compilation of completed Visio diagrams that depict the manner in which processes should be managed according to its Future State. As processes will change over time due to the introduction of new technology and enhancements to existing technology, it will be important to continue to review, update, and communicate these changes to the appropriate people / departments that will be impacted. Always refer to the "People Application Matrix" spreadsheet of the **Enterprise Application Portfolio Matrix**.

Master Process Task Log: A comprehensive spreadsheet containing each of the identified tasks, initiatives, decisions, and / or action items by process. This master task log is to be used by the project management and executive teams to track, manage, and assess the completion and progress of each task identified.

This report contains a section for each business process that was modeled. Each section will outline following:

A General Summary of Findings section which lists the following:
  - Identified Key Initiatives / Action Items
  - Identified Portal Content Needs
  - Identified Workflows and / or Targeted Communications
  - Identified Document Management Needs
  - Identified 3rd Party Integration / Interface Needs
- A section for each business process that was modeled which lists the following:
  - An overview / description of the process
  - **Part I:** Inputs to the Process Prioritization: Identified critical issues, impacts and value the process brings to Sample University
  - **Part II:** Current state highlights, transition steps that can be taken to ultimately reach the ideal state, and future / ideal state goals and objectives of the process
  - **Part III:** Identified gaps and Recommended alternatives
  - **Part IV:** Process Alignment
    - Aligned Strategic Goals to the supporting process
    - People Alignment
    - Technology Alignment
    - Process Metrics
    - Process Impacts
    - Process Starting Point
    - Answers to SunGard Higher Education follow up items identified during the process discussion
  - **Part V:** Process recommendations
- A final conclusion can be found at the end of this report which will provide executives and process owners at Sample University with overall / general recommendations.

© **2010** SunGard Higher Education - Confidential & Proprietary

2.2 How to use this document

The following conventions that are used throughout this document are designed make navigation easier for the reader and highlight key information, identify where additional information may be available, and call attention to specifics.

 This icon is used to highlight key observations.

 This icon is used to highlight specific recommendations for action.

© **2010** SunGard Higher Education - Confidential & Proprietary

The Future State Modeling of the Selected Registration and Records Business Processes

© 2010 SunGard Higher Education - Confidential & Proprietary

3. BPM General Summary of Findings:

3.1 Identified Key Initiatives / Action Items

Note: for more details pertaining to Initiatives and action items, please refer to the Master Initiative and Action Item Matrix provided to Sample University.

3.1.1 Registration and Records

29 Identified Action Items / Initiatives	
Academics	Review the policy that allows Academic Departments to make grade "updates" after they have been submitted by the instructor. Determine if a policy can be implemented in order for Banner baseline rules to be enforced without causing undue work (grade changes) for the records office
Advising Students	Review and revise the current policy on confidentiality in order to govern / manage the types of advising comments / notes that can be entered on a student's record, as well as where they should be entered (i.e. Banner / Degree Works)
Advising Students	Develop a new method for evaluating and improving advisor effectiveness, such as an "Advisor Feedback Survey"
Advising Students	Re-examine the current "Student Feedback Questionnaires (SFQs) to ensure that advisor effectiveness is being appropriately tracked
Advising Students	Determine if access to all other systems (i.e. blackboard, library, etc…) will be driven directly through the Luminis Portal. If so, what will the institution's communication/ IT policy be pertaining to system access
Advising Students	Develop a plan that outlines which contact / communication plans from academic and other units to students should take place, how they should occur and when they should occur.
Advising Students	Develop a policy that addresses who will have the authority to add / remove student holds, as well as make overrides specific to registration
Advising Students	Develop a process and policy that addresses how student advisement should be managed, as well as decide if it should be centrally managed (i.e. establishment of an "Academic Advisement Office"
Auditing and Awarding Degrees	Develop and enforce an institutional policy / rule regarding how many courses a student can take (or how many terms a student can complete) before they have to declare a major
Auditing and Awarding Degrees	Determine how Sample University will migrate / map existing students who haven't declared a major. Will they be required to declare a major?

© **2010** SunGard Higher Education - Confidential & Proprietary

Creating and Managing the Class Schedule	Review the current day / night timetables and align both schedules to ensure there are no overlaps. Also decide if both schedules should remain as separate entities or become one complete schedule (as recommended in the ideal state)
Creating and Managing the Class Schedule	Review current SWFs / FLAC rules for compensation to ensure they are in alignment with the new / ideal state scheduling timetable
Creating and Managing the Class Schedule	Investigate the impact on the current business practice of full time evening contract versus day time contract compared to faculty workload
Creating and Managing the Class Schedule	Re-implement the Scheduling Committee and re-assess the structure of the existing committees involved in developing the schedule
Creating and Managing the Class Schedule	Assess the impact between TPH (Optimization Solution) and Banner
Creating and Managing the Course Catalogue	Review the current course catalogue (inventory), cleaning up the data, making any changes to: numbering, credit hours, instructional method, grading mode, titles, prerequisites, registration restrictions, etc…
Creating and Managing Programs and Curriculum	Develop an assessment report out of the ODS that looks at new changes to program requirements and compares to Course and schedule assessments for current and prior years to help develop budgeting and enrolment targets and forecasts
Creating and Managing Programs and Curriculum	Consider re-coding existing program codes based on the MTCU / APS code Determine / develop standardized institution course requirements and assess the processes and procedures for submission of additional course syllabus information received from the faculty/instructor

3.2 Identified Portal Content Needs

Process for which portal content has been identified	Identified Portal Content	Pre-delivered or requires development using delivered Luminis technology
Advising Students	Advisor Dashboard: Provides advisor with a summary list of assigned students with the ability to drill down in order to view additional student details and profiles	Pre-delivered
	Advisor Reporting Dashboard (ODS / ODS Self Service / Cognos integration within the Luminis Portal LDAP / CPIP single sign on connection and authentication	Functionality is available: Would require configuration and IDAM set up

© **2010** SunGard Higher Education - Confidential & Proprietary

Process for which portal content has been identified	Identified Portal Content	Pre-delivered or requires development using delivered Luminis technology
	Advisor Evaluation Survey Channel Fragment within the Luminis Portal – providing direct access to a generated Banner / Self Service Survey	Functional is available: Channel fragment would need to be configured using delivered functionality within Luminis
Auditing and Awarding Degrees	“My Academic Records” Channel providing seamless access to perform an online audit of degree progress	Functionality is delivered. If DegreeWorks is used by Sample University as the degree auditing and planning / tracking solution, Sample University will need to develop this channel fragment within the Luminis portal.
Creating and Managing the Course Catalogue	Direct / real-time access to the course catalogue via Luminis	Pre-delivered
Creating and Managing Programs and Curriculum	Access to Degree Audit and Program planning tools via a Luminis channel	Pre-delivered
Registering Students	Advisor /Student online registration tools channel	Pre-delivered
	Advisor Dashboard	Pre-delivered
	Campus / personal-targeted notifications	This functionality is delivered but would require some configuration from Sample University
Creating and Managing the Class Schedule	Direct / real-time access to the Class schedule via Luminis	Pre-delivered
	Campus / personal-targeted notifications	This functionality is delivered but would require some configuration from Sample University

3.3 Identified Workflows and / or Targeted Communications

Process for which Workflow has been identified	Identified Workflow	Pre-delivered or requires development using delivered Workflow technology

© 2010 SunGard Higher Education - Confidential & Proprietary

Process for which Workflow has been identified	Identified Workflow	Pre-delivered or requires development using delivered Workflow technology
Advising Students	Notification of advisor assignment (new student assigned): Notifies advisor of new assignment – triggered based on assignment of student to advisor within Internet Native Banner	Functionality is available using baseline functionality, however this Workflow would need to be configured
Auditing and Awarding Degrees	Degree Audit Petition Workflow: Notifies advisor when a petition to waive / substitute / challenge a degree requirement has been completed by a student. This workflow would be routed to the appropriate academic approvers before reaching the Registrar's Office for update on the student's record	This is not a pre-packaged Workflow and would require configuration.
Creating and Managing the Course Catalogue	Notification of new / changes to existing courses to be approved. Routes the notification through the identified academic administrators to complete the course approval process. Notification of approved courses / course changes is ultimately sent to the Registrar's Office for entry / update in Banner	This is not a pre-packaged Workflow and would require configuration.
Creating and Managing Programs and Curriculum	New Program / Program Changes Workflow notification: Notifies appropriate academic administrators / approvers as changes to existing programs, as well as new programs are created.	This is not a pre-packaged Workflow and would require configuration.
Registering Students	Notification of Registration Error: notifies appropriate administrator when a student receives an error upon attempting to register	Pre-delivered
	"Drop From Class" Workflow email notification: Notifies students when they are dropped administratively	This is not a pre-packaged Workflow and would require configuration.
Creating and Managing the Class Schedule	Workflow trigger that launches based on the status change of a class schedule in Banner.	This is not a pre-packaged Workflow and would require configuration.
	Class Section review and approval notification	This is not a pre-packaged Workflow and would require configuration.

© **2010** SunGard Higher Education - Confidential & Proprietary

3.4 Identified Document Management Needs

Process for which Document Management / Imaging has been identified	Identified Imaging Need	Requires further development / customization outside of delivered BDMS technology
Advising Students	None Identified	
Auditing and Awarding Degrees	None Identified	
Creating and Managing the Course Catalogue	Course Proposal / Approval Form: Would be scanned and indexed to the course for the effective term for which changes will take effect	This functionality is delivered, but will require resources to develop such a form
Creating and Managing Programs and Curriculum	Online Change of Program Form attached to a student's Banner record Online Program Executive Summary – attached to the program for the appropriate effective term – in Banner	This functionality is delivered, but will require resources to develop these forms
Creating and Managing the Class Schedule	None Identified	

3.5 Identified 3rd Party / Partner Integration / Interface Needs

Process for which 3rd party / partner integration / interface need has been identified	Name of 3rd Party / Partner Solution	Interface / Integration Details
Advising Students	UC4 / Banner Interface for automated job / process scheduling	Functionality exists as UC4 is a SunGard Higher Education partner. Some technical configuration will be necessary
	DegreeWorks / Banner interface for degree audit purposes	Functionality is delivered
Auditing and Awarding Degrees	DegreeWorks / Banner interface for degree audit purposes	Functionality is delivered
	Cognos / ODS reporting	Functionality is delivered. Cognos is Sample University's reporting tool

© **2010** SunGard Higher Education - Confidential & Proprietary

Process for which 3rd party / partner integration / interface need has been identified	Name of 3rd Party / Partner Solution	Interface / Integration Details
Creating and Managing the Course Catalogue	Interface with 3rd party / partner learning management and course scheduling solutions once course approvals and updates have been entered into Banner	APIs and interface functionality is available, but requires configuration
Creating and Managing Programs and Curriculum	Data interfaced into a separate Oracle table and Extracted-Transferred-Loaded into the ODS as a reporting view to be joined with existing views for reporting purposes.	Functionality is available, but would require configuration
	Banner Student – Degree Works interface	Pre-delivered
	Interface to a partner resource scheduling solution (i.e. TPHI)	Functionality is available, but would require configuration
Registering Students	UC4 / Banner Interface for automated job / process scheduling	Functionality exists as UC4 is a SunGard Higher Education partner. Some technical configuration will be necessary
	Interface to a partner resource scheduling solution (i.e. TPHI)	Functionality is available, but would require configuration
Creating and Managing the Class Schedule	Interface with Sample University HR system and Banner to export / import faculty bio / demo data, contract information, assignments, and other data pertinent to Faculty Load and Compensation	
	UC4 / Banner Interface for automated job / process scheduling	Functionality exists as UC4 is a SunGard Higher Education partner. Some technical configuration will be necessary
	ePrint / Banner interface for online pdf / html accessibility of reports / processes	Functionality exists. Some technical configuration will be necessary
	Banner / TPHI interface for scheduling optimization	Interface capabilities exist. Will require configuration

© **2010** SunGard Higher Education - Confidential & Proprietary

4. Registration and Records BPM Summary of Findings and Recommendations

4.1. Advising Students

The Student Advising process model focuses on a proactive, student-centric approach improving student success, academic performance, and persistence to graduation. This model supports a standardized approach to student advising through planned outreach strategies based on student type, status, and academic standing, and it builds the student-advisor relationship that fosters student success and improved relationships. These strategies are time-based activities at certain points of the term and/or student lifecycle. Through automated Workflows and communication plans, the process ensures consistent contact with students in an effort to keep them informed and on-track to graduation. Communication plans recycle each term until the student graduates or is identified as no longer attending.

At any point in the student lifecycle, issue resolution needs can occur. These may be identified by the student or advisor, and will be managed in a task-oriented / prioritization approach. Advisors will have the ability to view complete student profiles, and run necessary reports in order to identify and resolve potential issues before they escalate.

4.1.1 Part I: Inputs to the Process Prioritization

Critical Issues	Impacts to Sample University	Value to Sample University
▪ Reactive, no official college process, happening at point in time where student is being dismissed from the institution ▪ Decentralized -- Policies within the schools ▪ No automation ▪ Not effective tools to guarantee success ▪ No integrated holistic	▪ Retention ▪ Funding ▪ Inadequate Planning ▪ Customer Service (dissatisfied students) ▪ Academic Performance ▪ Wrong track ▪ Low student satisfaction ▪ Reporting: can't factor in all of the needs, inaccurate projections ▪ Inefficient student service	▪ Increased retention ▪ More consistent student contact ▪ Better planning ▪ Improved relationships ▪ Improved image / community awareness ▪ Accurate reports/projections ▪ Better/accurate information to the student ▪ Increased persistence to graduation ▪ Increased graduation rate ▪ Creative alternative delivery of courses ▪ Improved planning for class schedule (needs of students are met) ▪ Decrease in course drops

© 2010 SunGard Higher Education - Confidential & Proprietary

4.1.2 Part II: Current – Transition – Future State

Current State	Transitional Steps or Initiatives	Future State Goals / Objectives / Expectations
▪ Student reach-out / contact is based on report running / manual – based on certain criteria (including mid-term marks, 1st semester midterm transcripts, students at risk) ▪ Manual process ▪ Advisor assignment various from school to school (some students are assigned by class) ▪ All notifications / communications are manual and verbal ▪ Report requests are not run by the advisor ▪ Advising is all paper-based	▪ Determine at what point we will communicate to students ▪ Define advising… academic versus services advising ▪ Define the various segments/populations of students for which advisor assignments will be managed ▪ Develop specific communication plans that should be generated to students ▪ Begin developing more "proactive" communication plans to generate to students ▪ Benchmark communications plans at other institutions ▪ Review current communication plans being generated out of each of the different schools / programs ▪ Determine how communication will be managed (via text message, mail, email, portal, etc…) ▪ Begin tracking students communication preferences	▪ Ability to electronically track advising ▪ Chronological view of advisees ▪ Real-time self service driven reporting to identify students to advise based on self chosen criteria ▪ Auto / mass assignment of advisees ▪ Electronic and automated ▪ More predictive and prescriptive / proactive ▪ Integrated – ability to view advising history ▪ Online Advising Management ▪ User friendly / ease of degree auditing and pre-requisite checking ▪ Ability to track / enter / automate communication to students ▪ Workflow ▪ Ability to track student input and feedback (goals, needs, etc…) in order to provide better means of intervention and intuitive follow-up ▪ Ability for students to quickly respond to advisor recommendations (i.e. RSVPs) ▪ Improved Sample University reputation

4.1.3 Part III: Gaps and Recommended Alternatives

Identified Gaps	Alternatives / Recommendations
▪ None Identified	▪ Sample University does not currently practice or follow an "official / streamlined" advising process. Therefore this process model will represent a major element of change to Sample University that will

© **2010** SunGard Higher Education - Confidential & Proprietary

	promote and support a more student-centric methodology. The future state advising model represents a "best practice" / student centric process for effective advising. Sample University will need to make the decision as to how resources will be allocated to support the model. Furthermore, a decision must be made regarding the adoption of a "centralized" advising process that will need to be consistently followed across the institution

4.1.4 Part IV: Process Alignment

Strategic Goal Alignment NOTE: What Strategic Goal(s) / Focus Area(s) / Initiative(s) should this process ultimately be supporting / be a KPI in measuring success?	▪ Commitment to high quality services to support student success and business practices ▪ Commitment to teaching and learning excellence ▪ Manage enrolment growth

People Alignment
 	
NOTE: Which people, departments, other areas of the institution should be involved / have a role within this process?
	▪ Students
	▪ Program Coordinators
	▪ Associate Deans
	▪ Advisors
	    ▪ Learning Support Services Admins
	    ▪ Faculty

Technology Alignment
 	
NOTE: In order to achieve the "Future State" of this process flow, what solutions, UDC applications, 3rd party, etc… are needed?
	▪ Banner
	▪ Self Service
	▪ Luminis
	▪ Banner Workflow
	▪ Performance reporting and Analytics and Performance Management Solutions
	▪ ODS / EDW
	▪ Cognos
	▪ BDMS (as necessary)
	▪ E-Visions (FormFusion)
	▪ One Card solution (?)
	▪ Touchnet Payment Gateway
	▪ ePrint
	▪ E-mail service integration
	▪ UC4 – Banner Enterprise Job Scheduler
	▪ Other 3rd party ancillary systems
	    ▪ Adirondack
	    ▪ Vision and Epitome (Conference Services and Housing)
	    ▪ Parking solution
	▪ Evisions Digital Document Design
	▪ Calendar integration to Luminis

© **2010** SunGard Higher Education - Confidential & Proprietary

	▪ Blackboard Integration to Luminis ▪ BSAC Load ▪ Address Cleaning / Verification solution (i.e. Clean Address)
Process Metrics NOTE: What KPIs will be used to indicate whether or not the "Future State" process, once implemented, is successful?	▪ The retention rate of students ▪ Percentage of students in good (versus bad) academic standing ▪ Percentage of students graduating on time ▪ Survey of student satisfaction (Student advising surveys)
Process Impacts Note: What other processes and areas to which those processes belong will be impacted by the newly re-designed "Future State" Process Flow?	▪ Registration ▪ Degree Audit / Pre-requisite checking / Academic Planning ▪ Communication Management ▪ Student Awards
Process Starting Point Note: In the "Future State" How should this process begin? What preceding processes, steps should have already been made to launch this process?	
Initiatives / Action Items / Elements of Change Note: In order to achieve and implement the Future State, what specific action items and / or transition steps must be taken, and by whom?	▪ **Initiative**: Review and revise the current policy on confidentiality in order to govern / manage the types of advising comments / notes that can be entered on a student's record, as well as where they should be entered (i.e. Banner / Degree Works) ▪ **Action Item:** Develop a new method for evaluating and improving advisor effectiveness, such as an "Advisor Feedback Survey" ▪ **Action Item:** Re-examine the current "Student Feedback Questionnaires (SFQs) to ensure that advisor effectiveness is being appropriately tracked ▪ **Initiative / Decision**: Will access to all other systems (i.e. blackboard, library, etc…) be driven directly through the Luminis Portal. If so, what will the institution's communication/ IT policy be pertaining to system access. ▪ **Initiative**: Develop a plan that outlines which contact / communication plans from academic and other units to students should take place, how they should occur and when they should occur. ▪ **Initiative / Policy**: Develop a policy that addresses who will have the authority to add / remove student holds, as well as make overrides specific to registration ▪ **Initiative / Decision**: Develop a process and policy that addresses how student advisement should be managed, as

© **2010** SunGard Higher Education - Confidential & Proprietary

	well as decide if it should be centrally managed (i.e. establishment of an "Academic Advisement Office"
SUNGARD HIGHER EDUCATION Follow Up Items:	▪ None identified

4.1.5 Part IV: Process Recommendations

SunGard Higher Education recommends that Sample University take a standardized and streamlined approach to advising. All students should be actively assigned to an advisor and consistently communicated with by that advisor in order to proactively identify and resolve issues before they escalate. Advisors can play a very critical role in the increase of student retention rate, prevention of course drops and withdrawals, as well as the improvement of academic performance of students. Advisors should have access to the necessary data and reports in order to regularly review and prioritize contact / communication based on students' potential needs. Furthermore, Sample University should consider a mandatory academic advising process for first year students, as well as continuing students who have not declared a major by the end of their second year. A central academic advising division and / or advising performed by academic departments is an approach Sample University could take if faculty contracts and workload prevent faculty from performing in this role.

Assignment of Advisors to Students: Tracking of advisor assignments are term based, allowing multiple advisors to be assigned to each student for a given term. Advisors can be classified as an advisor type: major, peer, department, faculty-advisor, etc. Based on criteria outlined by Sample University a script will be developed by their technical staff that will assign advisors to students in batch. Advisor changes can be made for students on an individual basis as needed.

Advisors viewing of Student Data: The Luminis portal, with single sign on, will give advisors access to student data. Controls will be set that will restrict their view of student information based on advisor assignments. Advisors can view biographic as well as demographic information, including but not limited to the ability to view academic transcripts, and view or run degree audits.

Advisor / Advising Comments will be entered in Degree Works, along with degree / certificate waivers and substitutions. Additional advisor comments can be entered in Banner forms, and comment types identified for reporting purposes.

Registration and required advising: For specific groups of students (i.e., academic jeopardy or students in a specific program of study) academic advising registration restrictions can be applied. Communications to these students informing them of this requirement can be managed through the

© **2010** SunGard Higher Education - Confidential & Proprietary

Banner population selection / letter generation process or using Luminis and targeted messages. Students attempting to register (add / drop) via Self Service would receive an error message informing them that advising was required. Advisors would release the registration restriction and the student would have immediate access to the applicable registration processes.

Advisory Notifications can be sent to groups of advisees. Luminis Channels can track if a student went through (to) this channel, and a report developed identifying students who did (or did not) review the notification. Optionally, Sample University can set-up Self Service registration so that students are taken to another form (advisory notification or verification of address page, etc.) prior to accessing the registration page the first time (for a term).

Advising Reports can be developed based on any set of criteria: students in academic jeopardy, students eligible for nomination for honors / awards, etc.

© **2010** SunGard Higher Education - Confidential & Proprietary

4.2 Auditing and Awarding Degrees

This process model focuses on an early, proactive approach to identifying potential graduates based on their expected graduation date and / or percentage of completed hours. In this model the Registrar's Office and the Advisor play key roles in generating communication plans to students pertaining to their expected graduation date, running and reviewing students' degree audits, and helping the student identify and resolve any issues pertaining to their degree that may warrant a petition for a course waiver or substitution. This process suggests contact with students at least 1 year (2 academic terms) in advance of their expected graduation date. These students are identified by the Registrar's Office via the Population Selection process in Banner. Based on this selection of students, communication plans and Luminis targeted messages are generated in order to inform students of the graduation application process, which is accessed / triggered online. This gives students a much earlier opportunity to identify and make up any missing requirements that may exist in their audit. By applying for graduation on-line students have a seamless user interface and communication channel to the Registrar's Office. All submitted applications online are automatically pushed into Banner; thereby, giving the Registrar's Office the ability to identify those who have / have not applied and follow up as necessary.

4.2.1 Part I: Inputs to the Process Prioritization

Critical Issues	Impacts to Sample University	Value to Sample University
▪ Diverse types of certifications issued by Sample University. ▪ Different credentials: different schools, different systems, different criteria ▪ Tracking of credentials: who, when, what ▪ Inability to track all credentials (especially CE programs) ▪ Track only in final term – reactive ▪ Lose track of students who may have met credentials, but not be aware. Student returns and requests credential, but cannot be awarded	▪ Students may not be aware of completion of credentials ▪ Initiative: Need to define and develop policy for defining: course credit, course contact hours, programs, credentials ▪ Credentials may not be awarded (currently rely on student notification) ▪ Decrease in Graduation rates ▪ Inaccurate reporting ▪ Ability to award credentials w/o student being officially in that program (outcome different from student)	▪ Increase in graduation rates ▪ Increase in awarding certificates ▪ Proactive in tracking, monitoring and awarding credentials

© **2010** SunGard Higher Education - Confidential & Proprietary

4.2.2 Part II: Current – Transition – Future State

Current State	Transitional Steps or Initiatives	Future State Goals / Objectives / Expectations
▪ Very basic degree audit process that does 1 for 1 mapping – doesn't identify pre-requisites	▪ Notify / warn students who haven't declared a major that a hold will be placed on their record preventing them from registering – in the new process.	▪ Ability to easily track and identify additional program opportunities for existing students ▪ Shift from students "self identifying" when they are ready to graduate to advanced identification and notification to students who are ready to apply. ▪ Student is able to easily understand program requirements / expectations ▪ Potential reduced workload for advisors ▪ Less "emergency" intervention… more proactive ▪ Better understanding of student expectations ▪ More student-centric ▪ Reduction in the amount of manual work

4.2.3 Part III: Gaps and Recommended Alternatives

Identified Gaps	Alternatives / Recommendations
▪ Interfaces to 3rd party solutions (such as Raiser's Edge, Housing, etc… in order to update students' status after they have graduated, as well as with Alumni information	▪ Resources will need to be allocated either be Sample University or SunGard Higher Education to build the appropriate interfaces to those identified 3rd party solutions.

4.2.4 Part IV: Process Alignment

Strategic Goal Alignment NOTE: What Strategic Goal(s) / Focus Area(s) / Initiative(s) should this process ultimately be supporting / be a KPI in measuring success?	▪ Manage enrolment growth ▪ Commitment to teaching and learning excellence ▪ Commitment to human resource planning and development ▪ Commitment to high quality services to support student success and business practices

© 2010 SunGard Higher Education - Confidential & Proprietary

People Alignment NOTE: Which people, departments, other areas of the institution should be involved / have a role within this process?	▪ Student ▪ Registration Office ▪ Advisor ▪ Associate Dean ▪ Career Services ▪ Awards Office ▪ Alumni Office

Technology Alignment
 	
NOTE: In order to achieve the "Future State" of this process flow, what solutions, UDC applications, 3rd party, etc… are needed?
	▪ Banner
	▪ Self Service
	▪ Luminis
	▪ Banner Workflow
	▪ Performance reporting and Analytics and Performance Management Solutions
	▪ ODS / EDW
	▪ Cognos
	▪ BDMS
	▪ E-Visions (FormFusion)
	▪ Touchnet Payment Gateway
	▪ ePrint
	▪ E-mail service integration
	▪ UC4 – Banner Enterprise Job Scheduler
	▪ Other 3rd party ancillary systems
	  ▪ Adirondack
	  ▪ Vision and Epitome (Conference Services and Housing)
	  ▪ Parking solution
	▪ Evisions Digital Document Design
	▪ BSAC Load

Process Metrics NOTE: What KPIs will be used to indicate whether or not the "Future State" process, once implemented, is successful?	▪ Graduation rate (should be increased) ▪ Higher number of program selections – number of program graduation increases (multi-credentials) ▪ Percentage of change in Target Market of Instruction (will increase… ability to identify those student targets and market certain courses based on students' missing requirements)
Process Impacts Note: What other processes and areas to which those processes belong will be impacted by the newly re-designed "Future State" Process Flow?	▪ Convocation ▪ Managing targets, substitutions and waivers ▪ Scheduling Management ▪ Course Management
Process Starting Point Note: In the "Future State" How should this process begin? What preceding processes, steps should have already been made to launch this process?	▪ When students expecting to graduate based on their expected graduation date (and / or other criteria as identified by Sample University) are identified and sent a notification to apply for graduation

© **2010** SunGard Higher Education - Confidential & Proprietary

Initiatives / Action Items / Elements of Change Note: In order to achieve and implement the Future State, what specific action items and / or transition steps must be taken, and by whom?	▪ **Initiative**: Develop and enforce an institutional policy / rule regarding how many courses a student can take (or how many terms a student can complete) before they have to declare a major ▪ **Action Item / Decision**: Determine how Sample University will migrate / map existing students who haven't declared a major. Will they be required to declare a major?
SUNGARD HIGHER EDUCATION Follow Up Items:	▪ When is the "Student" campaign management section being added to EMS? ▪ The Student Campaign Management component of the Enrollment Management solution, which allows administrators to general targeted communication plans to students via EMS, is already a part of the current EMS suite. New enhancements to this component are being released this year (2010) and will be in full operation by the time Sample University begins process implementation / configuration.

4.2.5 Part IV: Process Recommendations

The Advising process is going to be an integral part of this particular process, as it will enable Sample University to implement a more proactive approach to identifying students who are expected to graduate, as well as ensure that all graduation applicants are fully aware of their degree requirements, outstanding requirements, and any other issues that could prevent them from graduating as expected. SunGard Higher Education strongly recommends the implementation of a consistent advising process, per the recommended Advising business process model.

Ensure that other ancillary departments on campus are a part of this process. This includes departments such as Career Services, Public Safety, Alumni Relations, Housing, and others as applicable. These offices need to know when students are or have graduated in order to appropriately update their systems. Sample University will need to identify these 3rd party solutions in order to determine / build the appropriate interfaces from Banner to update student records.

Degree Audits can be run at any time during a student's "life cycle" at Sample University. They should be run in batches (all registered for a term, all in a program, or all for an advisor) or they can be run for individual students. Based on settings and controls developed by Sample University then students, faculty, advisors, deans, Record's Office, etc. would have the appropriate permissions to run degree audits.

- Make sure that students realize that degree audits can be run using "what if . . . scenarios" which provide a pro-active approach to

© **2010** SunGard Higher Education - Confidential & Proprietary

advising and degree verifications. This provides students and advisors with the tools needed for determining requirements for potential program changes and this will help students achieve additional certifications.

Reporting and communicating to Degree Candidates will become a proactive approach. Development of the Banner population selection and letter generation processes targeting students near completion of a degree / certification would enable Sample University to communicate to the potential degree candidates in a timely manner. These students would be directed to meet with their advisor and complete the on-line Application for Graduation.

Applications for Graduation will become an on-line process, where the students will complete the graduation application form, filling in the required information (including their name as they wish it to appear on their diploma). The application information is electronically submitted to the Record's Office and the appropriate Banner forms are updated accordingly. Based on updates to the student's Banner degree record additional reports, degree audits, transcripts, communications, and Workflows can be generated / initiated.

Degree Records will allow Sample University to track: anticipated / actual graduation date, graduation or degree completion term, degree / certificate earned along with major, minor and / or concentrations as well as the status of their degrees. Degree status codes are beneficial for tracking when a student applies for their degree, if they will be "walking the stage" only (completing their degree later), when their degree was confirmed (all requirements met), and when their degree was awarded. Students can have multiple degree records, even for the same graduation term / year.

Confirmation of degree requirements will be conducted using Degree Works and once verified the applicable Banner degree record will be updated using the batch process or individually.

Commencement Ceremonies will be developed using the Banner Event Management module. Sample University will use Business Rules Engine to capture the additional information needed to effectively manage ceremony attendance, number of guests, tickets required, etc. This information will be loaded into the applicable Banner forms for reporting needs (e.g., the Commencement Book).

Diploma information will be extracted from Banner for ordering purposes (either in-house or third-party vendor). Tracking of diploma orders, re-orders, and mailing dates will be managed in the Banner diploma form.

Degree GPA can be calculated and selected to display on the student's academic transcript. This degree GPA is separate from the Sample University overall institution GPA calculations. Specific courses are flagged to count in the

© **2010** SunGard Higher Education - Confidential & Proprietary

degree GPA, allowing separate GPA calculations for each degree / certificate. This information can be "frozen" and will not be updated if a grade change is made after the degree is awarded.

Graduation Reports will be developed by Sample University and applicable files sent to the Advancement (Alumni) Office and Career Placement office.

© **2010** SunGard Higher Education - Confidential & Proprietary

4.3 Registering Students

Registration is a major function impacting enrollment. This process in particular presents a major area of change to Sample University in that the Registration process commences prior to students' payment of tuition and fees. In order to mitigate this major change, the process begins much earlier in the academic year. Sample University Academic departments and the Registrar's Office will be the two major areas with the ability to administratively manage a student's registration record, as well as process prescribed program blocks each term. The Registrar will work with academic departments to complete the new term and end of term processes as well as to establish term controls. Defined registration requirements will determine when students can register, which students will have access to self registration, and which items will be warnings which allow registration, versus errors which stop registration. The roles that can override registration errors will be determined by the registration error.

Continuing and Resuming students will receive targeted communication plans beginning 1 month prior to the beginning of registration. The purpose of this is to inform students of any issues, both academic and financial, that may prevent them from completing the process. This gives the student advanced time to either contact their advisor or any other appropriate personnel to resolve these issues. If the student encounters errors that prevent them from registering, Workflow will be used to automate the notification to the appropriate administrator in order to resolve the issue. If there are no registration errors, the student will be able to view their schedule in the Luminis portal and continue on with payment of fees, tuition, and charges.

4.3.1 Part I: Inputs to the Process Prioritization

Critical Issues	Impacts to Sample University	Value to Sample University
▪ No consistent process for registering students (Each school has their own process) ▪ A lot of manipulation to enforce SAMPLE UNIVERSITY registration restrictions: ▪ Control & Access to Courses (Restrictions) ▪ Control & Access to the Registration Module ▪ Continuing Education Students don't have a complete on-line, Self Service access - CE registration has high	▪ Student service jeopardized, (e.g.: clinical and course requirements, all attempting at same time) ▪ Silos ▪ Resources, increased workload ▪ Class sizes: inaccurate enrollment limits (enrollment counts differ from targets). ▪ Decrease in full-time enrollment ▪ Demands aren't met (not enough seats)	▪ Satisfied customers ▪ Increased persistence, graduation rate ▪ Potential to increase retention FTE ▪ Self Service ▪ Increased revenue ▪ Improved room/seat/facility utilization ▪ Better advising ▪ Increased flexibility/adaptability to meet student needs ▪ Marketing to students

© 2010 SunGard Higher Education - Confidential & Proprietary

potential for duplicate records ▪ System load excessive during peak times (nursing) – poor performance ▪ Planning and development of course schedule (not student centric). Looking at what believe they need, may not be offering what will be required. Prerequisite driven (based on program) ▪ Timing & sequencing of schedule and registration ▪ Reactive ▪ Advising falls through the crack. Lack of assessment tools, mid-terms, potential failures		

4.3.2 Part II: Current – Transition – Future State

Current State	**Transitional Steps or Initiatives**	**Future State Goals / Objectives / Expectations**

▪ 8 academic schools most with differing registration processes
▪ Most programs use a "Block registration method"
▪ Several different types of registration depending on the type of student:
▪ Full Time Day
    ▪ Pre Registered
    ▪ Module
    ▪ Timetable
    ▪ Program
    ▪ No-Registration Registration
▪ Continuing Education
    ▪ CE students follow a more traditional method to registering
	▪ Review and discuss the current SWFs process / protocol and adjust policies in order to adapt to the new ideal state
	▪ Review / reassess the current fee structure and policy regarding initial payment of fees prior to registration
	▪ Changing the scheduling process to a more advanced / academic year based time-table / registration
	▪ Discuss the impact of curriculum change to the registration process
		▪ Develop enrollment plan based on current and past years
		▪ Accurate projection for returning and first time students, their programs of studies.
		▪ Course forecasting and meeting the needs of students and faculty (days/times/delivery method)
		▪ Class Schedule updated with the current curriculum (course) information. Ensure that all courses are current, valid, updated

© 2010 SunGard Higher Education - Confidential & Proprietary

4.3.3 Part III: Gaps and Recommended Alternatives

Identified Gaps	Alternatives / Recommendations
▪ Sample University's current policy to require payment prior to registration	▪ Recommended changes are outlined in the Visio documentation, as well as in the Process Recommendations (below). Registering students, assessing fees, requiring payment within a given time period will prove to be beneficial to staff / faculty / advisors and students.

4.3.4 Part IV: Process Alignment

Strategic Goal Alignment NOTE: What Strategic Goal(s) / Focus Area(s) / Initiative(s) should this process ultimately be supporting / be a KPI in measuring success?	▪ Manage enrolment growth ▪ Commitment to teaching and learning excellence ▪ Commitment to high quality services to support student success and business practices
People Alignment NOTE: Which people, departments, other areas of the institution should be involved / have a role within this process?	▪ Advisors (Divisional Schools, Program Coordinators, Associate Deans) ▪ Students ▪ Registration Office (International Office) ▪ Financial Services ▪ Financial Aid

Technology Alignment
 	
NOTE: In order to achieve the "Future State" of this process flow, what solutions, UDC applications, 3rd party, etc… are needed?
	▪ Banner
	▪ Self Service
	▪ Luminis
	▪ Banner Workflow
	▪ Performance reporting and Analytics and Performance Management Solutions
	▪ ODS / EDW
	▪ Cognos
	▪ BDMS (as necessary)
	▪ E-Visions (FormFusion)
	▪ One Card solution (?)
	▪ Touchnet Payment Gateway
	▪ ePrint
	▪ E-mail service integration
	▪ UC4 – Banner Enterprise Job Scheduler
	▪ Other 3rd party ancillary systems
	  ▪ Adirondack
	  ▪ Vision and Epitome (Conference Services and Housing)
	  ▪ Parking solution
	▪ Evisions Digital Document Design

© 2010 SunGard Higher Education - Confidential & Proprietary

	▪ BSAC Load ▪ Address Cleaning / Verification solution (i.e. Clean Address)
Process Metrics NOTE: What KPIs will be used to indicate whether or not the "Future State" process, once implemented, is successful?	▪ Paid vs. Registered (how many paid vs. how many registered) ▪ The number of phone calls, problems, issues (paper and electronic) reported to the call center ▪ Classroom facility utilization rate ▪ Percentage of manual drop/adds ▪ Fewer room changes ▪ Fewer schedule adjustments
Process Impacts Note: What other processes and areas to which those processes belong will be impacted by the newly re-designed "Future State" Process Flow?	▪ Room re-optimization ▪ Financial Aid ▪ Processing Refunds ▪ Fee assessment ▪ Payment/Credit processing ▪ Faculty workloads
Process Starting Point Note: In the "Future State" How should this process begin? What preceding processes, steps should have already been made to launch this process?	▪ 1 month prior to the beginning of registration for the next academic term – when students receive automated communication plans (managed by the Registrar's Office) informing them of their registration status and any issues that may prevent them from successfully completing registration
Initiatives / Action Items / Elements of Change Note: In order to achieve and implement the Future State, what specific action items and / or transition steps must be taken, and by whom?	▪ **Decision:** Will students receive ID cards regardless of their classification (FTE, CE, distance Ed)? ▪ **Decision:** Will Sample University continue to use the "ATC" (admit to class) form? Will it be necessary based on the functionality available within the proposed solutions ▪ **Initiative:** Evaluate the current dependencies on the current types of registration: identify change element ▪ **Initiative**: Review / re-assess current policy and culture pertaining to Faculty Workload (SWF) development and preparation. Needs to happen much earlier than in the current state ▪ **Initiative**: Discuss / assess the possibility of registration being based on an academic year by academic year basis - shifting from term by term registration. ▪ **Initiative**: Need to establish a new process / policy for managing communications to existing students who don't confirm their blocks or are non-responsive. Who will be responsible for managing this? The advisor? Registrar's Office? ▪ **Initiative**: Develop a process to manage students who have received secondary offers of admission for a program. Will these types of students be allowed to register themselves as opposed to having a registration block automatically processed for them? ▪ **Elements of Change:** Review the recommendation for pre-

© **2010** SunGard Higher Education - Confidential & Proprietary

	registration (prior to paying fees) and the registration time line in conjunction with course / program projections. Example: 40 students in program, project 36 will continue. Create courses for 36, but all 40 remain. Need to override registration. This is a scheduling issue. Sample University shouldn't wait-list someone who is continuing on in same program. ▪ **Elements of Change:** Receive feedback and "buy-in" from the Finance Office on-board for recommended changes. Deferred payment, payment plans, contracts, exemptions, financial aid, etc. ▪ **Initiative:** Discuss /assess the need for students to verify their address/phone/email once a term, prior to verifying registration or performing add/drop
SUNGARD HIGHER EDUCATION Follow Up Items:	▪ None Identified

4.3.5 Part IV: Process Recommendations

- **Preparation for Registration should begin at least 1 year prior to the start of a like term (fall to fall, spring to spring, and summer to summer).** The following is a list of tasks to be completed for the "next like term":
    - Schools begin their scheduling processes and planning, including but not limited to running reports relevant to the completion of budget planning and course projections. This information is forwarded to the Dean of Planning and Development (Workflow / Luminis / with applicable attachments)
    - Dean of Planning and Development reviews data with School deans, determines new programs, determines new courses, and determines the number of required course sections. Establishes targeted goals, segments pertaining to program growth and runs applicable reports.
    - Registration / Records Office sets up new start of term controls for development of the schedule of classes
    - Schools establish faculty resources, course offerings, and scheduling updates. The Course Catalogue is updated with new and changes to existing courses for the effective term.
    - Comparison reports are run, and reviewed. Applicable updates are made

- **Registration Set-Up:**
    - The Course Catalogue updates must be completed
    - The Schedule of Classes must be completed, verified, and blocks assigned to students
    - The appropriate controls and rules must be set on various registration control forms, including but not limited to:
        - Registration Term Control form: default registration dates, Web enabling registration, Catalogue and Schedule search criteria, registration override password, registration error checking controls, etc.
        - Enrollment Status form for controlling when registration is available (from and to dates) and refunding rules. Multiple dates can be set in order to turn on and off registration based on institution policy. Example: pre-registration for a fall term may take place from March

© **2010** SunGard Higher Education - Confidential & Proprietary

15 – May 15. Then an additional drop / add period may be open from August 15 (10 days prior to start of term) through the last day to drop.

- Course Registration Status form for controlling registration within a course, and course based refunding rules. Course registration status dates control, based on rules when can a student drop, when can a student add, when will a student be required to withdraw from a class. So you can have different dates based on the course registration status.
- Fee Assessment rules
- Registration overrides and wait-list rules
- Registration holds applied (batch process based on population selections or accounts receivable rules)
- Registration Time Ticketing rules for controlling student and faculty / advisor web registration controls (who can register when)

- **Notifications to Students, Faculty and Advisors** regarding registration dates and activities will be managed using Luminis targeted messages.
  - Students have the ability to check their registration status prior to registration via Self Service. Their registration status can display any holds, required advising, student status, academic standing, or other information that may prevent them from registering.
  - Faculty can review their class schedule as well as monitor their course enrollments
  - Advisors can review their (assigned) advisee records and academic advising is conducted on an on-going basis (see Advising BPM)

- **Start of Registration**
  - Block schedules will be processed (these can be done prior to allowing Web access for drop / add)
  - As students access the Registration (or Drop/Add) page in Self Service
  - The first time they try to access this form for a term they should be taken to the address/phone/email verification page. This helps the institution to capture accurate contact information on a timely basis
  - According to institution policy, the student(s) would then be able to add / drop classes.
  - Fees would be immediately assessed and students could review their charges, any pending financial aid awards, and even pay their bill (or apply for a payment plan).

- **Registration Error Processing and Overrides:** The controls for registration error processing are found in the Term Control form. Clients can set error checking to fatal or warning only, as well as determine what registration restrictions they wish to enforce. Institution policy will determine what procedures a student is to follow to resolve registration over-rides, and the applicable forms and workflows will need to be developed by the client.
  - Registration overrides can be applied proactively. Example: the student has "life experience" that a department wants to count as a prerequisite for a higher level course. A registration override can be given in advance of registration that allows this student to take the higher level course even though they have not met the prerequisite. Registration overrides can be set for: a subject, a subject and course number, or a specific CRN (only one section of the course)

© **2010** SunGard Higher Education - Confidential & Proprietary

    - Registration overrides can always be handled in the INB Registration Form, so any user who has permission to register a student in INB would also have permission to perform registration overrides.

- **Registered, not Paid Process:** Students who have registered but not paid (or have not made other payment arrangements) can be dropped for non-payment. This is a batch process that can be run at any time, as determined by the institution. Exceptions can be made on an individual basis. Should a student inadvertently be dropped for non-payment there is a registration audit trail that is always available and based on this information the student can be re-registered for their courses.

- **New Student Registration** will be managed on a similar time frame as returning students, with a few exceptions:
    - Applicant must accept Sample University's offer of admission (to generate a General Learner Record)
    - Applicant takes placement tests, and these scores are loaded (electronically) in the appropriate Banner forms (as needed for prerequisite checking)
    - Sample University must assign this new student to a block, register the students in their block of classes, and then notify the new student that they need to "confirm" their registration.
    - If the new student fails to confirm their registration in a timely manner (approximately 2 weeks) then they would be "dropped" from the block, and the "secondary offers" would be registered for the block, and be given the opportunity to confirm their registration.

- **Registration Verification / Error Checking** – as pre-registration is done prior to completion of the current term often times students will fail a prerequisite, or be academically dismissed from the institution. After end of term processes are run (grades, GPA, academic standing calculations, etc.) then the institution will run the Registration Admin Messages report to identify students who fail a registration requirement. This process can be run in report (audit) mode or update mode. Update mode will drop the student from the courses where they fail to meet a requirement.

- **Registration End of Term Processing:** There are numerous steps that must be accomplished, in sequence, at the end of a term. These jobs can be scheduled to run automatically (UC4) or run by a user. They can be run in report (audit) mode or update mode. Additional notes are within the Grade and Academic Standing BPM.
    - Grades are submitted by faculty in Self Service or manually entered in the Class Roster form (INB)
    - Grades are rolled to academic history (and available in Self Service for student viewing)
    - Run repeat equivalent course check (if applicable)
    - Calculation of GPA
    - Calculation of Academic Standing
    - Updates student continuant term – Student Type Updates (example: New First Time student will become a Continuing student for the next term)
    - Option to run a grade reports

© 2010 SunGard Higher Education - Confidential & Proprietary

4.4 Creating and Managing the Course Catalogue

Sample University's course offerings are defined and maintained in the Catalog component within the Banner Student. This information is then used to generate the institution's official catalog and provides the basis for the term schedules.

In the base course form, the Sample University will define the course, owning college/department or division, department or committee approvals, waivers, course credit and whether or not the course may be repeated for credit. Additionally the course may be defined to apply to one or multiple academic levels, such as undergraduate and graduate.

Multiple course schedule types and instructional methods can be associated with the course including lecture, laboratory, Internet delivery, televised or any combination. Multiple grade types can also be associated with a course including standard letter grades, pass/fail, and audit or numeric grade scale types.

Supplemental forms also allow the institution to restrict course offerings to a student by their chosen college, major, degree or program in addition to the campus they attend, their current level and classification. Prior course work and test scores can also be used control access to course registration.

Banner supports "effective term" processing which allows an institution to change some components of the course for future terms, while leaving other components unchanged.

Workflow will manage the automated notification and approvals of changes to existing courses, as well as new courses created.

4.4.1 Part I: Inputs to the Process Prioritization

Critical Issues	Impacts to Sample University	Value to Sample University
▪ No representation from academic school ▪ Rules are different based on CE vs. day school for creation of new courses. Procedures for day school are tightly controlled, CE open ▪ Sometimes same course managed by 2 different individuals ▪ Different contact hours for same course (CE, day, campus, instructional method)	▪ Impacts fee assessment ▪ Confusion on course interpretation Transfer institutions ▪ Impact on graduation ▪ Impact on GPA ▪ Defining what level of certificate/credential is earned ▪ Impact on resources	▪ Clarity of what is offered, when, what, ▪ Better program planning ▪ Better program advising ▪ Better calculations of GPA ▪ Better academic management of programs, academic/ program compliance, academic standing

© 2010 SunGard Higher Education - Confidential & Proprietary

▪ Different rules for defining credits and contact hours. ▪ No consistent definition of credits and courses (contact and credit hours)		

4.4.2 Part II: Current – Transition – Future State

Current State	Transitional Steps or Initiatives	Future State Goals / Objectives / Expectations
▪ Courses aren't rolled because of too many issues ▪ Course versions don't necessarily match or reflect the schedule (they aren't synchronized)	▪ Review / clean up of existing courses (versions, etc…)	▪ Reflection what is truly active for the appropriate effective term ▪ Precise rolling of courses basic course information from term to term ▪ Course versions and section versions match (i.e. sections meet the catalogue requirements for a term)

4.4.3 Part III: Gaps and Recommended Alternatives

Identified Gaps	Alternatives / Recommendations
▪ Storing / Management of Course Syllabus data	▪ Currently, these are stored in many disparate systems - would need to standardize / centralize syllabus in 1 data system of authority...Banner

4.4.4 Part IV: Process Alignment

Strategic Goal Alignment NOTE: What Strategic Goal(s) / Focus Area(s) / Initiative(s) should this process ultimately be supporting / be a KPI in measuring success?	▪ Commitment to high quality services to support student success and business practices ▪ Human resource growth and professional development
People Alignment NOTE: Which people, departments, other areas of the institution should be involved / have a role within this process?	▪ Schools / Appropriate Academic Administrators / Continuing Education ▪ Planning and Development ▪ The Ministry and other external boards ▪ Registrar's Office

© **2010** SunGard Higher Education - Confidential & Proprietary

Technology Alignment NOTE: In order to achieve the "Future State" of this process flow, what solutions, UDC applications, 3rd party, etc… are needed?	▪ Banner ▪ Self Service ▪ Luminis ▪ Banner Workflow ▪ Degree Works ▪ ODS / EDW ▪ Cognos ▪ BDMS (as necessary) ▪ E-Visions (FormFusion) ▪ Other 3rd party ancillary systems
Process Metrics NOTE: What KPIs will be used to indicate whether or not the "Future State" process, once implemented, is successful?	▪ Number of errors, changes, manual manipulated due to multiply active versions of a course
Process Impacts Note: What other processes and areas to which those processes belong will be impacted by the newly re-designed "Future State" Process Flow?	▪ Scheduling ▪ Program / curriculum management ▪ Program auditing ▪ Accreditation
Process Starting Point Note: In the "Future State" How should this process begin? What preceding processes, steps should have already been made to launch this process?	▪ When the need to change an existing course or develop a new course has been identified by the academic department
Initiatives / Action Items / Elements of Change Note: In order to achieve and implement the Future State, what specific action items and / or transition steps must be taken, and by whom?	▪ **Initiative**: Review the current course catalogue (inventory), cleaning up the data, making any changes to: numbering, credit hours, instructional method, grading mode, titles, prerequisites, registration restrictions, etc…
SUNGARD HIGHER EDUCATION Follow Up Items:	▪ None Identified

© **2010** SunGard Higher Education - Confidential & Proprietary

4.4.5 Part IV: Process Recommendations

Course Catalogue (Inventory) Approvals for new and changes will be managed electronically. Documents will be scanned and attached to client developed Workflows. Luminis messages will inform the appropriate individuals that approvals are required. Once the course has been approved, the course will be developed in the applicable Banner forms and the approval form scanned and attached through BDMS.

Course Catalogue (Inventory) Information will all be maintained in Banner forms. The catalogue is the foundation for the development of the Schedule of Classes. Information within the catalogue will automatically default into the class schedule as the sections are created. The catalogue information is term based so all updates and changes will be effective for a specific term. Tracking of all catalogue changes will be available for viewing and reporting. Catalogue data includes (but is not limited to):

- Basic Course Information: approval/status indicator, subject, number, title, credit hours (can be a range of credits), course level (UG, GR, CE), grade mode, instructional method, schedule type
- Course Detail: equivalencies, co-requisites, course fees (i.e., lab charges), supplemental information as determined by the institution, course description, degree attributes (commonly used for core requirements)
- Course Registration Restrictions: department, field of study (major, minor, concentration), class, level, degree, program, campus, college, attribute and cohort
- Course Syllabus: long title, URL for web based courses, learning objectives, required materials, technical requirements
- Course Prerequisites: Use of Area Prerequisites for developing the prerequisite checking rules will give Sample University the capability of developing different prerequisites based on full-time vs. part-time, day vs. night. Area prerequisites may include: a range of courses (100-199), attributes, test scores, credit hours earned, etc.

Course Catalogue Reports and the ability to extract course catalog data are delivered processes through Banner job submission. The Course Catalogue can be viewed on-line through the non-secure or secure Web sites (portals). Viewing of the appropriate version of the catalogue is managed in the Term Control form.

© **2010** SunGard Higher Education - Confidential & Proprietary

4.5 Creating and Managing the Class Schedule

The class schedule defines specific course offerings for a term (e.g. semester or quarter). All core course information is pulled from the institution's catalog. Once the basic course information is selected, the institution can choose to define specifics for the course section in that term. At the catalog level, Sample University will define courses so that there can be options for how sections of the course can be created. Some of those options include allowing variable credit to be awarded, available to multiple student levels (e.g. undergraduate, graduate), optional grade modes (pass/fail, standard letter, audit), instructional methods (internet, televised, traditional, etc.) and schedule types (lecture, lab).

During the scheduling, the institution will make decisions regarding which catalog options will be chosen, in addition to further defining the course offering, setting dates/times, assigning rooms and faculty. Banner uses a Course Reference Number (or CRN) to identify unique sections.

The major element of change that this ideal state process model will pose to Sample University is that this process will commence 1 full like term (i.e. year) prior to that term's class schedule. Workflow will be used to automate the notification of schedule changes, approvals to the appropriate academic departments, ultimately being routed to the Registrar's Office for final review and update in Banner.

4.5.1 Part I: Inputs to the Process Prioritization

Critical Issues	Critical Issues	Critical Issues
▪ Frequent changes ▪ Timing ▪ Room scheduling – insufficient scheduling of rooms ▪ Lack of planning class size based on projections ▪ No review, follow-through (tools available) ▪ Working in silo, inconsistent communication ▪ Inability to assess resource demand to make accurate projections ▪ Creation of day/night schedules are different w/different individuals responsible ▪ Day/Night schedule conflict in time tables (start/end times) and number of contact hours ▪ Faculty Workload formula	▪ Manual ▪ Not student centric ▪ Inconsistent time periods, overly complicated process ▪ Reactive	▪ Utopia ▪ Better facilities utilization ▪ Better resource utilization ▪ Better forecasting ▪ Improved advising ▪ Proactive ▪ Better planning ▪ Opportunity to secure "better" faculty

© **2010** SunGard Higher Education - Confidential & Proprietary

impacts how and who will teach. Happens late (6 weeks prior to next semester) and until this happens – the process is at a standstill. ▪ High number of part-time faculty (availability of resources to meet scheduling needs)		

4.5.2 Part II: Current – Transition – Future State

Current State	Transitional Steps or Initiatives	Future State Goals / Objectives / Expectations
▪ Section information is currently managed / maintained in Spreadsheets – and has to be manually updated in the TPH system ▪ Day and night schedules are managed in multiple systems – very disjointed ▪ Last minute development of the schedule – causes reactionary measures to fix issues resulting from lack of planning	▪ Change Element: moving to a 1 unified student-centric timetable that does not differentiate between day / night. ▪ Review current scheduling policies / reassess, update, determine whether or not they are still appropriate.	▪ Section data is all managed in 1 system ▪ Schedule / Section data is synchronized with schedule optimization solution (TPH) ▪ Day and Night schedules are all managed in 1 solution. ▪ Schedule / timetables for upcoming terms are produced in advance (6 months to 1 year ahead) for better planning

4.5.3 Part III: Gaps and Recommended Alternatives

Identified Gaps	Alternatives / Recommendations
▪ Ability for departments to enter invalid data when creating their Schedule of Classes	▪ Since the development of the Schedule of Classes is a decentralized process appropriate edit checks will be required. After the schedule has passed a final verification – set department user access to the schedule forms to view only. This will prevent them from making unauthorized schedule changes. The records office would need to maintain all course updates from this point forward, for this term.
▪ Students from the Univ. of New Brunswick (UNB) can enroll in Sample University courses, but the official transcript sent from Sample University back to UNB must reflect the UNB course subject, number, title and not the Sample University course	▪ Take a proactive approach to this. On an as needed basis, create the UNB courses in the Sample University course catalog. Use the cross-listed course functionality in the schedule of classes to tie the UNB course to the Sample University course. Restrict

© **2010** SunGard Higher Education - Confidential & Proprietary

information	registration to the UNB courses, allowing only UNB students to register for them. The two class rosters can be displayed as one, but after grades are rolled to academic history the UNB student's academic transcript would reflect the appropriate course eliminating the need to make any adjustments to their record.
▪ Managing the schedule occurs too late in development (2 weeks prior to start of registration). This leads to inaccurate course information and assignments that can adversely affect a student's schedule, as well as the registration process. Assignment of instructors and classrooms is all done early on	▪ The recommended best practice is to begin the schedule review and update process at least 1 year in advance. The assignment of instructors and classrooms do not have to be completed as early, and could therefore occur during and after registration based on actual enrollments and not projections. This will at least provide students with a more accurate assessment of expected class offerings

4.5.4 Part IV: Process Alignment

Strategic Goal Alignment NOTE: What Strategic Goal(s) / Focus Area(s) / Initiative(s) should this process ultimately be supporting / be a KPI in measuring success?	▪ Manage enrolment Growth ▪ Commitment to teaching and learning excellence ▪ Commitment to high quality services to support student success and business practices ▪ Human resource growth and professional development
People Alignment NOTE: Which people, departments, other areas of the institution should be involved / have a role within this process?	▪ Schools / Appropriate Academic Administrators ▪ Registrar's Office ▪ Facilities Planning Committee ▪ Scheduler(s) ▪ Scheduling Committee
Technology Alignment NOTE: In order to achieve the "Future State" of this process flow, what solutions, UDC applications, 3rd party, etc… are needed?	▪ Banner ▪ Self Service ▪ Luminis ▪ Banner Workflow ▪ Performance reporting and Analytics and Performance Management Solutions ▪ ODS / EDW ▪ Cognos ▪ BDMS (as necessary) ▪ E-Visions (FormFusion) ▪ One Card solution (?) ▪ Touchnet Payment Gateway ▪ ePrint ▪ E-mail service integration

© 2010 SunGard Higher Education - Confidential & Proprietary

	▪ UC4 – Banner Enterprise Job Scheduler
	▪ Other 3rd party ancillary systems
	    ▪ Adirondack
	    ▪ Vision and Epitome (Conference Services and Housing)
	    ▪ Parking solution
	▪ Evisions Digital Document Design
	▪ BSAC Load
	▪ Address Cleaning / Verification solution (i.e. Clean Address)

Process Metrics NOTE: What KPIs will be used to indicate whether or not the "Future State" process, once implemented, is successful?	▪ Number of changes to the schedule / timetable ▪ Number of "Late Adds" of sections ▪ Number of cancelled sections ▪ Time in which the schedule is made available online for students
Process Impacts Note: What other processes and areas to which those processes belong will be impacted by the newly re-designed "Future State" Process Flow?	▪ Registration / Registration Error Checking ▪ Faculty Workload ▪ Facility management ▪ Fee Assessment / Financial Aid / T2202A ▪ Advising ▪ Budgeting ▪ New Term / End of term processing ▪ Ministry Reporting
Process Starting Point Note: In the "Future State" How should this process begin? What preceding processes, steps should have already been made to launch this process?	▪ At least 1 like term prior (i.e. full year) to the next upcoming like term for which the schedule is being created. Registrar completes new term set up and rolls previous like terms schedule to next like term. All data except faculty and room assignments are rolled.
Initiatives / Action Items / Elements of Change Note: In order to achieve and implement the Future State, what specific action items and / or transition steps must be taken, and by whom?	▪ **Initiative**: Need to align the day and night schedules to ensure there are no overlaps. Also, decide if the day and night schedules continue to be 2 separate entities ▪ **Initiative**: Review current SWFs / FLAC rules for compensation to ensure they are in alignment with the new / ideal state scheduling timetable ▪ **Action Item**: Investigate the impact on the current business practice of full time evening contract versus day time contract compared to faculty workload ▪ **Action Item**: Re-implement the Scheduling Committee and re-assess the structure of the existing committees involved in developing the schedule ▪ **Action Item**: Assess the impact between TPH (Optimization Solution) and Banner
SUNGARD HIGHER EDUCATION Follow Up Items:	▪ None Identified

© **2010** SunGard Higher Education - Confidential & Proprietary

4.5.5 Part IV: Process Recommendations

Class Schedule and the initial development -- data defaults from information stored within the Course Catalogue forms, and if desired updates can be made for individual sections. The following is a list of Class Schedule forms and the functionality they provide:

- Schedule form is the foundation for creating and updating basic course section information. The system will generate a Course Reference Number (CRN) for each section created, and this is a one-up numbering sequence based on the creation of each section.
  - Based on information that defaults into the Schedule form (from the basic Course Catalogue form) updates can be made to: Course title, credit hours (i.e., zero for lab, 4 for lecture), schedule type (lecture, lab), instructional method (traditional, web), etc.
  - Additionally the course meeting days, time, building and classroom assignments and instructor assignments are contained within this form.
  - Enrollment limits, reserved seating, and wait-list functionality is all set up within this form. Multiple meeting times can be assigned, along with different room assignments.
  - Multiple instructors can be assigned, along with their workload percentile.
  - There is the option to copy the basic course section information, creating multiple sections of the same course (SUBJ and NUMB) with less manual data entry.
- Schedule Detail form provides the functionality for making changes to the default catalogue details as needed. Some examples for updating section information would be: to add a course fee to a particular section (i.e., lab), addition (or deletion) of a course attribute (writing requirement, core course). Additionally the Schedule Detail form manages:
  - Linking of courses (lectures and labs)
  - Block Schedule (assignment of the course to a block)
- Schedule Restrictions can be adjusted for individual sections. Example: as a general rule a course is restricted to students enrolled in a specific program (so this is set in the Catalogue Restrictions form). However, for one term the department wishes to allow any student to register for this course. The restriction would be removed for this section, for this term.
- Schedule Prerequisites can be updated for a section, for a term.
- Schedule Comments and Text can be entered. These are section specific comments and text and are not to be confused with the Course Catalogue descriptions.
- Section Syllabus can be updated for a section, for a term. Most commonly the long title will be updated for a specific course section. Example: The default course title is something like “Special Topics”.

© **2010** SunGard Higher Education - Confidential & Proprietary

A long title can be entered for each section offered "Special Topics: Art Design, Basket Weaving"

Class Schedule additional forms and processes that are available include:

- Schedule Cross List Rules – and the definition of a cross-listed course is where the course SUBJ and / or course NUMB are different, but offered by the same instructor, on the same day, at the same time, in the same classroom.
- Schedule Overrides: College, Division, Department changes can be made for a section, for a term

Part-of-Term and Open Learning: The system requires that all course sections be assigned to a part-of-term, or be defined as Open Learning (OLR). Part-of-term codes are defined by the institution. Registration dates, add / drop dates, grade entry are all based on either the part-of-term for which the class is scheduled or on section specific criteria defined using OLR.

Block Scheduling processes and forms provide the functionality required for creating desired blocks, assigning courses to these blocks and batch assignments of students to a block based on a population selection. Changing / updating the block assignments for individual students can be made manually as needed.

Term Roll process automatically rolls section data from one like term to another like term (fall to fall, spring to spring, and summer to summer). When running this process the institution can select what information they wish to roll, including but not limited to: meeting day/time, classrooms, instructors, links, co-requisites, fees, attributes, restrictions, enrollment and wait-list limits, block codes and courses, Web controls, etc.

- The term roll process is done once for a term (e.g., Fall 2010 to Fall 2011) and not for a part-of-term. You cannot restrict the roll process to courses offered by a specific department or division.
- The maintenance of the course catalogue is very important to consider when rolling the course schedule. If updates are made to the course catalogue for a future term, then when the schedule is rolled the new term the schedule will reflect these changes. If the schedule is rolled, and then the catalogue is updated then you must run a process to synchronize the schedule with the new catalogue.

Class Schedule maintenance / updates on an on-going basis will require the development of applicable reports and workflows.

Class Schedule Best Practice:

- The development of the class schedule should begin well before registration (not less than 6 months, or greater than one year prior), allowing ample time for making adjustments and verification. Approximately two weeks prior to registration the schedule should be closed to departments to ensure they don't make any updates that

© 2010 SunGard Higher Education - Confidential & Proprietary

have not been approved. The records office would for this term, manage all schedule updates.

- Pre-Registration would be conducted

Assignments of rooms would be managed after pre-registration, and would then be based on actual enrollment data rather than projected enrollment data.

© **2010** SunGard Higher Education - Confidential & Proprietary

4.6 Creating and Managing Programs and Curriculum (Certifications)

This process focuses on curriculum management, program planning, and certification review. This process offers a comprehensive solution which will provide flexible program development, course / training package requirement management, and student tracking toward degree or award completion. Furthermore, the process model provides Sample University advisors and other authorized administrators with the ability to navigate through sometimes complex and diverse program requirements, giving you the ability to comprehensively track a student's progress toward a goal. This goal could be one of the following:

- Degree
- Certificate
- Diploma
- Another set of requirements

For Sample University, this kind of student tracking will be referred to as degree audit. The processes of checking a student's progress against the requirements to meet a goal is specifically called compliance. Compliance processing takes the student's academic information and measures it against the requirements for the student's goal.

This process model also allows faculty advisors more time for advising, rather than spending hours plotting out a student's progress toward completion of a goal. "What will it take for me to graduate? Am I on schedule? What if I were to change my major?" These are questions that are commonly asked by students. Furthermore, it is designed with the student population in mind. Students can obtain quick and accurate information that shows just where they are on their path to completing their goal. Academic Administrators (i.e. schools / colleges) will define program requirements, process compliances for a student and change a student's program requirements.

4.6.1 Part I: Inputs to the Process Prioritization

Critical Issues	Impacts to Sample University	Value to Sample University
▪ Frequent Curriculum changes ▪ Minimal rules on why a curriculum can change ▪ Managing programs impacted by the current flexibility to change them ▪ Policy, but not always followed ▪ Lack of workflow ▪ Inconsistency between schools	▪ Impacts on students graduation ▪ Prerequisites based on curriculum changes ▪ Scheduling ▪ Auditing and Awarding of degrees ▪ Advising ▪ Manual manipulation of records	▪ Student would understand their program/curriculum requirements from the very beginning ▪ Better planning ▪ Better, accurate, advising ▪ Better exemptions, substitutions, waivers ▪ Better evaluation of transfer credits ▪ Improved graduation analysis and rate

© 2010 SunGard Higher Education - Confidential & Proprietary

▪ Lack of communication ▪ Development of class schedule to meet the needs of the students due to changes in curriculum		

4.6.2 Part II: Current – Transition – Future State

Current State	Transitional Steps or Initiatives	Future State Goals / Objectives / Expectations

▪ Fees / Registration is program based
▪ Separate audit required using different logic for Part-Time students
▪ Highly prescriptive way that of assigning the courses and credit values
▪ Progression / academic standing rules are different for part-time versus full-time students
▪ 4 Categories of Full-time
    ▪ Full time fees – i.e. certain number of credit hours 13 is full time.
    ▪ Full time program
    ▪ Full time aid
    ▪ Full time disability – 40% of the course load
	▪ Re-assess, review, document / outline Sample University's past, current, and future program structure (level, college, degrees / certifications, majors, minors, concentrations, learning pathways, focus groups, etc.) and determine the impact on development of Banner and DegreeWorks
	▪ Assess the need for HR to Student interface(s) with required elements for accurate assignment of faculty
	▪ Review / Development Program Review form (requests for new and/or changes) and identify data elements required for reporting needs
		▪ Ability to make more accurate projections and assessments on programs
		▪ Better position to meet demands with the right program offerings
		▪ Ability to better track and offer program opportunities and learning pathways to students – in a more automated form
		▪ Ability to make program / curriculum rules and requirements term, cohort, attribute, etc… based
		▪ Ability to access all course outlines for all course programs
		▪ Generate lists of faculty associated with course outlines (syllabus)
		▪ Ability to view / generate reports on faculty, credentials, degrees, work experience, publications, etc.
		▪ Ability to access budget data (school and program costs) for various programs. Ability to document capital / operational budget costs for managing a program. Integration with fundraising and capital planning
		▪ Enhanced tracking and viewing of Executive Summaries for program development

© **2010** SunGard Higher Education - Confidential & Proprietary

4.6.3 Part III: Gaps and Recommended Alternatives

Identified Gaps	Alternatives / Recommendations
▪ Integration / sharing of data between Banner and Sample University's HR system	▪ Sample University will need to identify resources and requirements for translation of HR faculty/instructor data to Banner Student for required elements needed for accurate assignment of faculty
▪ Use of program review data kept in separate data sources – necessary for reporting	▪ Sample University will need to identify which data elements it will need to migrate from current 3rd party / shadow systems to a separate Oracle table to be loaded into the ODS / EDW and joined to existing reporting views to provide the Planning and Development office, as well as other academic / program areas the necessary and complete data for reporting needed for capturing and moving data from Program Review forms to EDW / ODS for Cognos reporting. ▪ Sample University will also need to identify resources for capturing and moving data related to new and changes to program requirements from Banner and/or Degree Works to ODS / EDW. Develop a comparison report out of the ODS that looks at these changes and the impact on Course and schedule assessments for current and prior years to help develop budgeting and enrolment targets and forecasts.

4.6.4 Part IV: Process Alignment

Strategic Goal Alignment NOTE: What Strategic Goal(s) / Focus Area(s) / Initiative(s) should this process ultimately be supporting / be a KPI in measuring success?	▪ Manage enrolment growth ▪ Commitment to teaching and learning excellence ▪ Commitment to high quality services to support student success and business practices
People Alignment NOTE: Which people, departments, other areas of the institution should be involved / have a role within this process?	▪ Deans / Academic Administrators (at each school) ▪ Program Advisory Committee ▪ Director of Planning and Development ▪ Registrar's Office ▪ External Approval Boards (i.e. Ministry, HEQAO, PEQAB) ▪ Board of Governors

© **2010** SunGard Higher Education - Confidential & Proprietary

Technology Alignment NOTE: In order to achieve the "Future State" of this process flow, what solutions, UDC applications, 3rd party, etc… are needed?	▪ Banner ▪ Self Service ▪ Luminis ▪ Banner Workflow ▪ ODS / EDW ▪ Cognos ▪ BDMS ▪ ePrint ▪ E-mail service integration ▪ UC4 – Banner Enterprise Job Scheduler ▪ Other 3rd party reporting systems ▪ DegreeWorks
Process Metrics NOTE: What KPIs will be used to indicate whether or not the "Future State" process, once implemented, is successful?	▪ Comparison of the expected graduation date of students from current to the ideal state greater percentage of on-time completions ▪ Comparison in the retention rate ▪ Amount / number of manual alternatives – decrease ▪ Comparison in the errors resulting from inaccurate registration block processing….Ability for schools to better determine the academic registration blocks ▪ Less retractions of printed materials (because they are more accurate)
Process Impacts Note: What other processes and areas to which those processes belong will be impacted by the newly re-designed "Future State" Process Flow?	▪ Course Management ▪ Schedule Management ▪ Registration ▪ Degree Audits / Graduation
Process Starting Point Note: In the "Future State" How should this process begin? What preceding processes, steps should have already been made to launch this process?	▪ When change to existing or new program need is identified.
Initiatives / Action Items / Elements of Change Note: In order to achieve and implement the Future State, what specific action items and / or transition steps must be taken, and by whom?	▪ **Initiative**: Develop an assessment report out of the ODS that looks at new changes to program requirements and compares to Course and schedule assessments for current and prior years to help develop budgeting and enrolment targets and forecasts ▪ **Action Item**: Consider re-coding existing program codes based on the MTCU / APS code ▪ **Initiative**: Determine / develop standardized institution course requirements and assess the processes and procedures for submission of additional course syllabus information received from the faculty/instructor

© 2010 SunGard Higher Education - Confidential & Proprietary

SUNGARD HIGHER EDUCATION Follow Up Items:	▪ Is there the ability to interface with the OCAS system to upload new / changes to existing programs, program offerings, etc… ▪ This will require client development, as there aren't any delivered interfaces that will update OCAS based on Banner data

4.6.5 Part IV: Process Recommendations

Managing Program Updates (new and changes to existing programs) will be streamlined. Development of a Web-based form or PDF document and associated Workflows will enable Sample University to track all proposed program updates. Tracking of the status of these proposals will be managed in baseline Banner forms (inactive for those in the approval process, active for those that have been approved). Use of BDMS will enhance the ability to view these forms from within the applicable Banner forms. Migration of key reporting elements to ODS/EDW will provide Sample University with the reporting requirements needed for tracking program changes as well as any impact these changes may have on budgeting and enrolment targets and forecasts.

Program Updates will be term enabled (fall, winter, summer). This will enable Sample University to accommodate the need for accurate tracking of new and changed programs, the assignment and availability of programs for applicants, students, and degrees, as well as the development of degree audits. Updates to future terms can be made, and are immediately accessible for applicants.

Program Updates to OCAS will require manual intervention, or client development of an interface to appropriately update and maintain changes

© **2010** SunGard Higher Education - Confidential & Proprietary

5. Summary of General Recommendations and Conclusion

5.1 Continual Process Improvement

During this business process modeling engagement, the prioritized Registration and Records processes were examined. Staff members provided valuable input into how each process should be "re-engineered" making appropriate use of people, processes, and technology to implement the newly designed business processes. In addition to the development of Future State process flows that document how student processes should be managed, there were some additional outcomes of this engagement. These outcomes should also be leveraged to provide value through continual process improvement. By reviewing, discussing, updating and referencing these assets during strategic planning initiatives, Sample University may ensure the future success of its strategic goals:

Process Flows and Narratives: These illustrations should be used as a foundation for new policies and procedures based on best practices for Sample University. The Future State process flows go into great detail explaining how each process should be managed. Process flow narratives have also been made available to provide specific steps, items to consider, integration points, and the processes which are linked and that occur next. In order for these narratives and process flows to continue to remain effective, ongoing review and updates must be done to ensure that all documentation is kept up to date.

An Enterprise Portfolio Matrix: This matrix will help ensure that all processes, strategic goals/focus areas, and people/departments are reviewed and assessed when updates, enhancements, and/or changes to various processes of the Registration and Records solutions are made which could ultimately impact other areas across the institution's architecture framework.

Process stewardship: For each business process, Sample University should designate an individual who is responsible for maintaining the process documentation, including the process flow and process outline, making changes and updates as needed when the business process needs to be altered. In addition, the Enterprise Portfolio Matrix should be stewarded by one or more individuals in order to ensure that all three alignment worksheets are kept up-to-date. By consistently performing these stewardship tasks Sample University can move forward as an agile organization capable of maneuvering quickly to address changes in both the internal and external environments.

© **2010** SunGard Higher Education - Confidential & Proprietary

5.2 General Process Recommendations

The ESSC Committee/Senior Administration will need to approve/adopt the new Modeling process flows and determine how initiatives are to be prioritized. Other institutions that have gone through this workshop have adopted a practice of reviewing and prioritizing each of the action items and determining those that were truly initiatives. These Initiatives serve as high-level milestones that need to be achieved in order to implement the Future State process flow. Action items reflect specific tasks within the area/process that most likely do not impact other areas, nor require global input in order to complete. Initiatives are small projects that impact and/or require input from other areas in order to achieve. For each initiative identified in the Master Task Log, we recommend developing a business case for each initiative followed by its presentation to the implementation team/committee for review, assessment, and prioritization.

Review the master project plan with the project manager and ensure that the action items are appropriately prioritized and correctly sequenced. Assign a timeframe by which each milestone should be completed, as well as staffing resources responsible for completing each action item based on the identified roles in the process flows.

Implement a committee structure by area/process of designated people who will be responsible for developing and implementing those processes. As part of their responsibilities each Process Committee would be responsible for developing rules, validation tables, understanding the UDC functionality, mapping data from the legacy system to Banner, developing policies and procedures regarding the process, identifying and working with appropriate college administrators on building necessary integration/interfaces, identifying necessary portal content, workflows, Document Management, ODS/EDW reports, and other UDC solutions needs to be incorporated into the process, as well as building the training/education plans for training Sample University's staff members on the new process.

Assess each of the identified Workflows and determine how to leverage SunGard Higher Education's Workflow service offerings based on the category that best suites each Workflow need. Per the "Sample University Integration Approach and Timeline Recommendations" report, workflows fall into one of the following categories:

- Packaged Workflow
    - Workflow Models that are developed and delivered as deployable models that are personalized to meet Sample University's requirements
- Modified Packaged Workflow
    - Workflow opportunities that were identified during the BPM sessions that were identified as similar to the packaged

© 2010 SunGard Higher Education - Confidential & Proprietary

workflows however require additional development to meet Sample University's systems
- Custom Workflow
  - Workflow opportunities that are not represented by the packaged workflows that would require development for Sample University

As in line with Sample University's resource plan for this project, it will be important to identify and maintain staff members who will be dedicated to this project full time. This will help to ensure that all initiatives, action items, and project milestones are completed on time and within scope.

Identify users within the institution who will serve as "Subject Matter Experts" on behalf of their area, department, or defined processes. These user's will need to have a much more comprehensive knowledge and understanding of cross-functional processes and their impacts to people, processes, and technology. Also, these users should serve as "go to" administrators for assistance in resolving process related issues, as well as training and education within their realm of expertise.

Decide on and implement a uniform training and education plan for all end users and new employees. It will be vital to the on-going success of your initiatives that all users are trained comprehensively from a complete process point of view. This should incorporate all of the people, solutions, and other processes that are involved and/or ultimately impacted as a result of performing and completing the process.

Establish institution-wide standards, policies, and guidelines regarding what is and is not allowed to be imaged, scanned, and/or uploaded to records using the Banner Document Management capabilities.

Analyze current policies and procedures to determine when assignments are made, when processes are run, etc. It will be important to understand the logical/sequential flow and order of each process, as well as what other processes are impacted by preceding processes.

Build security access matrices by area and review all security access, rights, and credentials by role. It will be imperative to assess, from a Global perspective, what kind of access users are going to need; not just access needs within a specific module, system, but rather across the institution's solutions. It will be extremely important to remain flexible and open-minded in your decision-making regarding security and access and to remember that in an integrated environment with flexible security options it can be very beneficial to allow certain users appropriate access to forms and data to which they have not previously had access. There will certainly be cases where people/departments would legitimately need access to certain forms, solutions, menus, portal content, and/or other UDC solutions that may be considered as being "owned" by another area. Develop and document these

© **2010** SunGard Higher Education - Confidential & Proprietary

policies and procedures accordingly. In certain cases, it may be appropriate to invoke Personally Identifiable Information (PII) and/or FGAC (Fine Grained Access) restrictions to certain types of data.

In reviewing and assessing each area's reporting needs (either via the ODS/EDW or specific reporting tool), develop reports based on roles and needs, as well as a standard set of reports that can be accessible by area and further customized as needed according to individual user needs and preferences. Establish a reporting committee in order to provide oversight of the reporting toolset and institutional data. In addition each area should be tasked with reviewing its current reporting cache and assessing actual reporting needs rather than attempting to duplicate in the new system every existing report in the legacy system. In many cases a report may be replaced by a streamlined business process, notification, email or other function.

Review all the Banner delivered reports to determine which ones will meet Sample University's needs. Also, identify additional reports that will need to be developed within Sample University's ODS / EDW environment.

Review policies pertaining to ongoing maintenance and cleanup of data prior to and after conversion. Since some of the maintenance of the data will be necessitated by user error, this task should be discussed while addressing data governance policies and procedures.

Discuss additional content that will need to be made available to all users by role within the Sample University's Luminis Portal.

Develop a data dictionary of terminology for each process and area. The entire college should adopt and utilize a common set of standard terminology and definitions. These should be incorporated into policy and procedural standards, as well as all process flows.

Eliminate the use of shadow systems. Use Banner as authoritative system.

Use Workflow and UC4 to automate notifications and update other systems where possible.

Provide adequate and timely training for Sample University community, as well as ongoing communication and town hall meetings designed to dispense information and relieve the stress of the implementation of a new system.

Dedicate staff to work alongside SunGard consultants across all modules to facilitate the creation of System Matter Experts within the Sample University community.

Plan for a Process Improvement Assessment, one year after the complete implementation of the module and all necessary components. (This is something that should be performed across all implemented modules.)

© **2010** SunGard Higher Education - Confidential & Proprietary

Managing Student Billing And Collections

Process Overview

Last Updated 25, March, 2010

SUNGARD HIGHER EDUCATION

What can we help you achieve?

© SunGard Higher Education 2010

SunGard Higher Education
4 Country View Road
Malvern, Pennsylvania 19355
United States of America
(800) 522 - 4827

Customer Support Centre website
http://connect.sungardhe.com

Distribution Services e-mail address
distserv@sungardhe.com

Other services
In preparing and providing this publication, SunGard Higher Education is not rendering legal, accounting, or other similar professional services. SunGard Higher Education makes no claims that an institution's use of this publication or the software for which it is provided will insure compliance with applicable federal or state laws, rules, or regulations. Each organization should seek legal, accounting and other similar professional services from competent providers of the organization's own choosing.

Trademark
Without limitation, SunGard, the SunGard logo, Banner, Campus Pipeline, Luminis, PowerCAMPUS, Matrix, and Plus are trademarks or registered trademarks of SunGard Data Systems Inc. or its subsidiaries in the U.S. and other countries. Third-party names and marks referenced herein are trademarks or registered trademarks of their respective owners.

Revision History Log

Publication Date	Summary
Original Date	
29 / May / 2009	Draft version
Revision Date	
06 / Oct / 2009	Andy Kearney

Notice of rights

Copyright © SunGard Higher Education 2010. This document is proprietary and confidential information of SunGard Higher Education Inc. and is not to be copied, reproduced, lent, displayed or distributed, nor used for any purpose other than that for which it is specifically provided without the express written permission of SunGard Higher Education Inc

Introduction

About The Process Overview Document

This process overview provides a comprehensive review of the steps that should occur within the process of **Managing Student Billing and Collections** from a comprehensive, enterprise-wide perspective at Sample University of Science, Technology, and Research (SAMPLE UNIVERSITY). It is intended to provide an enterprise-wide overview of how the process should be managed in its ideal state using the right people, processes, and technology in order to support those specific strategic goals and initiatives under which this process is aligned.

This guide will provide a more detailed review of the steps that must occur as part of the set up of the process, as well as a more detailed explanation regarding the day to day management of the process according to its ideal state. It is not intended for this overview to provide detailed steps pertaining to the administrative set up of any rules, values, controls, and other decisions that need to be made in order to manage the process according to its ideal state. Activities pertaining to process set up and configuration will occur during the "Process Configuration, Training, and Implementation Phases".

This process overview document will provide guidance as to what should be completed in order for the ideal state business process to be executed, and it will provide further reference as to what additional documents should be utilized to obtain the deeper level of knowledge necessary to configure the process.

The **Managing Student Billing and Collections** process is part of the overall **Managing Student Accounts** process. However, it provides a more detailed view of the student payment related activities. Integration also exists with other processes, including Student Payments, 3rd Party Contracts, Beginning and End of Term processes etc.

Intended Audience

The intended audience for this process overview document will include people such as day-to-day administrators, end users, and other people who have a role in the business process as well as other key stakeholders. These include the following:

- Business owners
- Members of the implementation team
- Those who have an active role in the business process model:
    - Student Accounts
    - Student
    - Internal Collections

Process Overview

About The Process

The **Managing Student Billing and Collections** process is used to create invoices and estimate credits based on current charges (when run in INVOICING mode), and to calculate credits, create bills and start the aging process (when run in STATEMENT mode). When run in INVOICING mode, the heading reads **BILLING INVOICE**. When run in STATEMENT mode, the heading reads **BILLING STATEMENT**. The Control Report gives total person accounts billed, total charges and credits, and total amount due.

The Accounts Receivable System supports billing on an individual invoice basis, as well as a periodic statement that includes previous balance, current charges and payments, and balance due. Students with a user defined minimum balance can be placed on an Accounts Receivable Hold.

The **Managing Student Billing and Collections** process reflects contract and exemption information prior to the student paying the bill. Banner automatically calculates contract and exemption information for a student, so that when the student wants to make a payment, the charges to his/her account will reflect any third party contracts or exemptions.

Accounts will be selected for the Student Billing Process if a transaction exists on the account with a term code from the Term Code Validation Form (STVTERM). This process may also be run in APPLYCRED mode to calculate credits and update the accounts, but does not produce a hard copy invoice or statement.

Students can review their account information using the Banner Self Service. All information about an account is available in various levels of detail using online queries to support account analysis.

Prior to beginning this process, a record must be established for each account "owner".

The Student Account module includes a number of baseline reports which can be used in the management of student accounts and these are referred to in the 'Managing Student Accounts' Process Overview. Two reports which have particular importance in the 'Managing Billing and Collections' process are:

- Total Billed Report (TSRBTOT) – prints billing totals by detail code based on the date specified in the Billing Date parameter. Billing Date is updated by the Student Billing Statement Process (TSRCBIL) run in STATEMENT or SCHEDSTMT mode. All accounts run in STATEMENT mode on this date are included. This report is useful for viewing any activity of outstanding terms. Charges by term are listed, and a summary lists all charges and payments by detail code with totals.

- Aging Analysis Report (TGRAGES) is used to analyze past due accounts. It produces a list of accounts by billed date, due date, or effective date with up to three age-date range options. The relevant billing statement processes must have been run in STATEMENT mode in order to use billed or due dates. The report lists unpaid account balances within each age-date range in addition to future balances. The report control information gives totals by date range, future balance, and account balance.

Critical issues, Impacts, and Value of the Ideal State Business Process Model

Meetings with key stakeholders have identified a number of critical issues about the process in its current state. These are causing an adverse impact on this and other processes, as well as on the university's ability to effectively achieve its overall mission and vision. Implementation of this ideal state process model will contribute to an increased value and / or return on investment for SAMPLE UNIVERSITY.

Critical Issues	Impacts	Ideal State Value
• Completely manual, paper-driven process • Process cycle time is much longer than it should be • Students can't view bills in real-time • High return rate of bills that are mailed • Difficult to interpret the students' bill – charges, payment, course information, etc. due to the various changes • Due to multiple systems, there is a high potential for bills to be inaccurate • Conflicts of interests, duties and responsibilities in managing student bills • Inconsistent business practices	• Manual bill delivery to students • Increased staff workload to produce and personally provide bills to students. As enrollment increases, this will no longer be viable • Understanding of the student's bill in order to communicate to the student. User access and understanding of the bill within the administrative system • Refunding • Extra time spent completing manual processes and rework • Tracking of financial compliance • Incorrect billing • Higher delinquencies • Potential loss of revenue and personal property • Inability to provide / show accountability of charges and payments • Student's view of the institution and institution's reputation is jeopardized	• Increased levels of customer service • Potential for quicker decrease in AR • Decrease in manual intervention • Automation • Increased credibility • Improved ability to effectively and efficiently manage student accounting for the anticipated growth in student numbers • Fiduciary compliance and accountability • Better financial controls and management • Compliance with accounting standards • Better financial reporting • Improved communication to clients (students, 3rd parties) • More able to adapt to change • More timely problem identification and proactive resolution

© SunGard Higher Education 2010

Current State – Transitional Steps – Ideal State Goals, Objectives, and Expectations

This section identifies key elements pertaining to how the process is currently being managed, transitional steps that should be taken in order to facilitate progression to the institution's ideal state business process model. These transitional steps will serve as measurable milestones throughout the implementation effort. Ideal state goals, objectives, and expectations that SAMPLE UNIVERSITY should realize as a result of this implementation are also included in this section.

Current State	Transitional Steps	Ideal State
• No billing reports exist • Paper-bills are generated by the mailroom. • No centralized Student Accounts Office • Most of the 'payees' are 3rd parties • Bills don't reflect all charges (only housing) • Currently a small number of students, but rapid growth is anticipated • Currently, no statements are produced and made available to students • Students are given paper receipts for returning required items – which they are to provide to Registrar's Office • Separate bills are sent out to students for individual charges • No single comprehensive bill is generated	• Identify and begin eliminating billing spreadsheets • Investigate the use of eVisions FormFusion for student / 3rd party bills • Identify the desired data elements that should be reflected in student / 3rd party bills • Identify appropriate resources (staff and facilities) to manage / oversee the process • Take an inventory of all current sources of fees and fee structures • Take an inventory of current areas on campus that receive payments • Determine and develop a billing cycle that defines when bills will be produced / sent • Develop and implement appropriate manual workflows in anticipation of automated Workflow • Develop, document and communicate all Student Accounts Receivables / Billing and Collections processes and policies	• Ability to produce bills online • Real-time processing of bills • Bills provide complete and accurate review of students' accounts • Single repository of accounts receivable data • One comprehensive bill / statement that lists all charges and payments • Interfaces / integration with other data sources • Bills generated from complete set of charges / fees assessed in one integrated system • System that is built upon and follows / adheres to developed policies and procedures • Single source / office responsible for billing, collections and payments • Accurate and real-time updates to data • Consistent practices across all campuses

© SunGard Higher Education 2010

Process Gaps and Recommended Alternatives

This section lists any gaps in the baseline solution functionality that were discovered which may impact the institution's ability to achieve its goals, objectives, and expectations in its ideal state business process model. Recommended alternatives that be taken in order to address these gaps are also presented.

Identified gaps	Recommended Alternatives
• Based on the ideal state business process model discussed and developed, as well as goals / expectations SAMPLE UNIVERSITY identified for this process, it is of the opinion of the SunGard Higher Education Consultants that there are no gaps in the baseline solution functionality.	• In order for SAMPLE UNIVERSITY to achieve its expected ideal state, technology and people alignment as identified in the ideal state business process model are imperative.

Process Alignment

This section of the process overview defines and identifies the alignment of the process to the institution's strategic goals, people, processes, and technology. Furthermore, it provides a framework from which the ideal state business process model will be developed.

Initiatives and / or action items that must be addressed and resolved in order to implement the process according to SAMPLE UNIVERSITY's ideal state business process model have been specified.

Metrics have also been defined in order to measure the success of the ideal state process after implementation.

Strategic Goal Alignment	• Customer Service / Relationship Management • Consistent Business Processes • One Institution Culture • Revenue / Endowment Growth • Fiscal Accountability • Technology Alignment and Growth
People Alignment	• Student • Bursar / Student Accounts Administrator • Cashier • Internal Collection Representative • Business / Finance Office
Technology Alignment	• Banner (Student / AR) • Self Service • Microsoft Excel / Access *Solutions for consideration* • *Finance Solution* • *Reporting Tool (i.e. Cognos, Oracle Reports Builder)* • *Reporting utility (ODS / EDW)* • *Luminis / Portal* • *Payment Gateway* • *Workflow* • *Document Management Solution (BDMS)* • *Stable / robust infrastructure that supports the technology* • *Integration / Interfaces to/from 3rd party solutions* • *eVisions / FormFusion* • *Potentially, a script created by IT to assign students to the appropriate external collection agency*
Process Metrics	• Average AR balance of students / 3rd parties • Average days outstanding • Reporting / data access cycle time

Process Impacts	• Refunding • Holds processing • Payments processing • Registration • Budgeting • Financial reporting
Process Starting Point	• When fees are assessed on the student's account; when an action is taken that results in a charge or payment
Initiatives / Action Items / Elements of Change	***Initiatives:*** • Identify an e-billing solution to migrate to in order to eliminate the printing of hard-copy bills. • During the Financial Aid BPM, consider establishing "book-vouchers" as financial aid funds that can be awarded and disbursed in an automated format. • Migrate to a more regulated billing cycle (i.e. every 30 days) • Determine / decide if late fees will be assessed to students who are delinquent in paying their fees • Determine / develop a policy that defines when / if SAMPLE UNIVERSITY will implement an internal collections process to manage delinquent student accounts • Develop and implement a communication plan for notifying / warning students prior to running the billing process – that bills are about to be generated, as well as the consequences of delinquencies • Determine the severity / consequences of holds placed on delinquent accounts after 30 / 60 / 90 days. At what point will a hold prevent students from registering, viewing grades etc. • *Develop specific elements for compliance and quality assurance for which this (and other) process will be measured* • Identify and implement a reporting methodology and appropriate solution to fulfill SAMPLE UNIVERSITY's needs ***Action Items:*** • Develop procedure documentation
SunGard Higher Education Follow Up Items:	• No follow up items identified

Business Process Model: Managing Student Accounts

Before You Begin

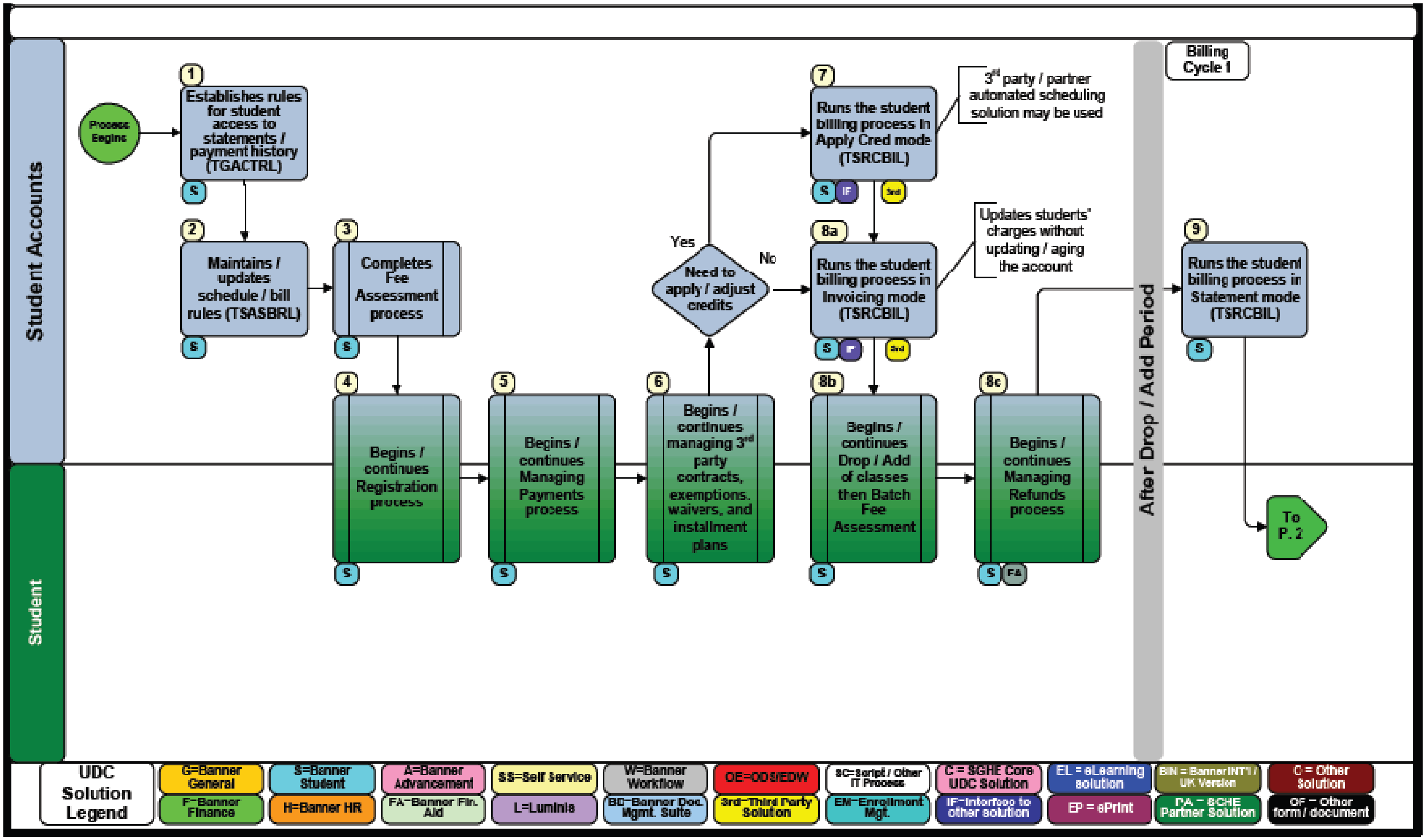
There are some activities that are universal and must be completed before your process is executed and are necessary in order for the system to function properly. Your SunGard Higher Education consultant will guide you through these mandatory activities so that the system reflects your business policies, process and practices.

Ensure that all detail codes have been properly created and linked to the correct General Ledger Account Number in the Detail Code Control Form (TSADETC). Also ensure that each detail code is established with the appropriate Priority number that reflects the order and priority pertaining to how the charge / payment should be applied.

Ensure that any and all payments and credits have been correctly applied and posted, as well as all charges correctly assessed on the student's account. This includes all financial aid, third-party contracts, exemptions, miscellaneous fees, as well as fees uploaded from other systems. Any Financial Aid or A/R memos should be placed on the student's account, as well as Financial Aid Authorizations.

The process will begin after a student has taken action which has resulted in a charge and / or payment; typically, student billing is a cyclical process.

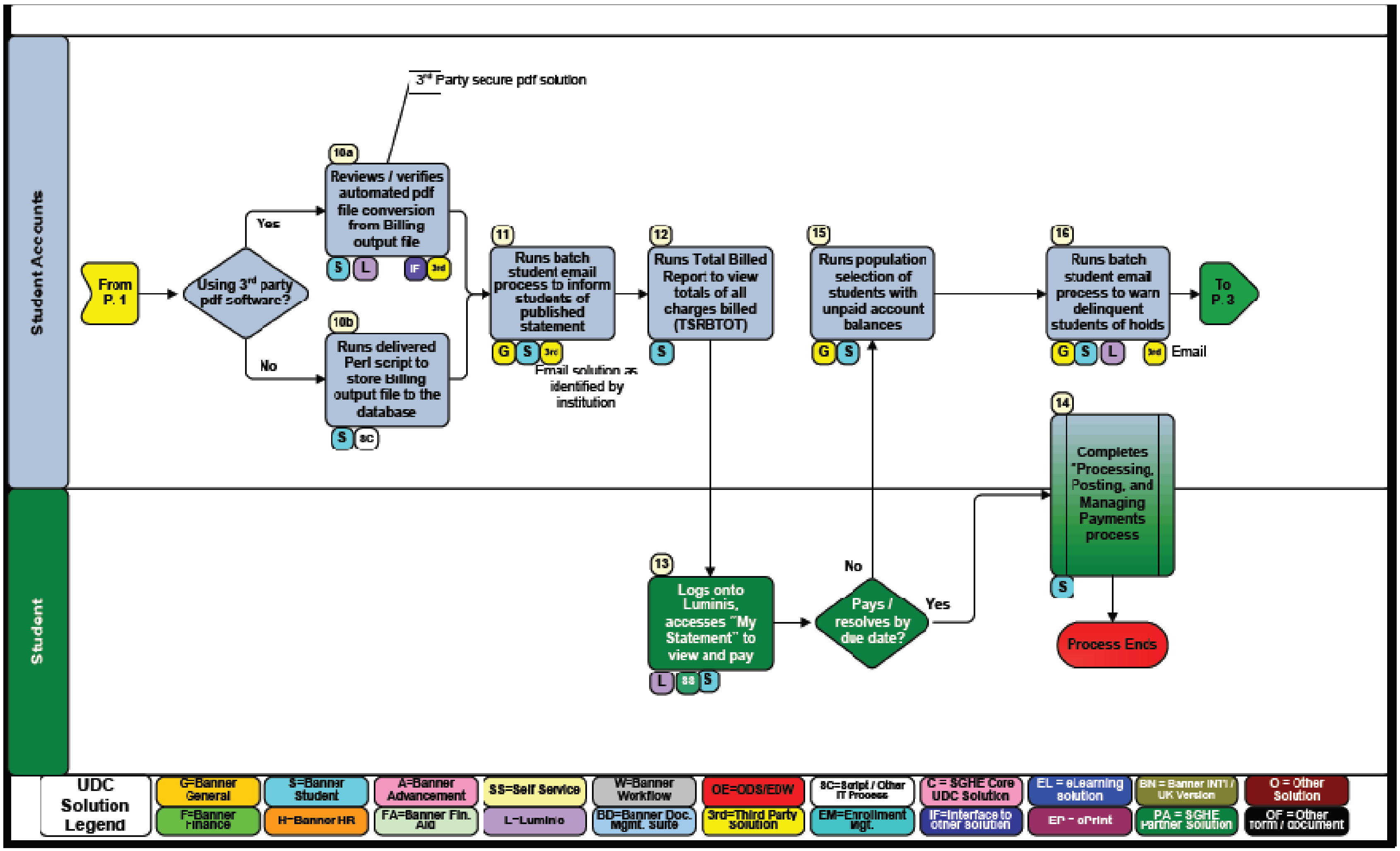
All of the appropriate values, rules, codes, and other controls must be developed and tested prior to executing the process.



© SunGard Higher Education 2010

Follow these steps to begin the process:

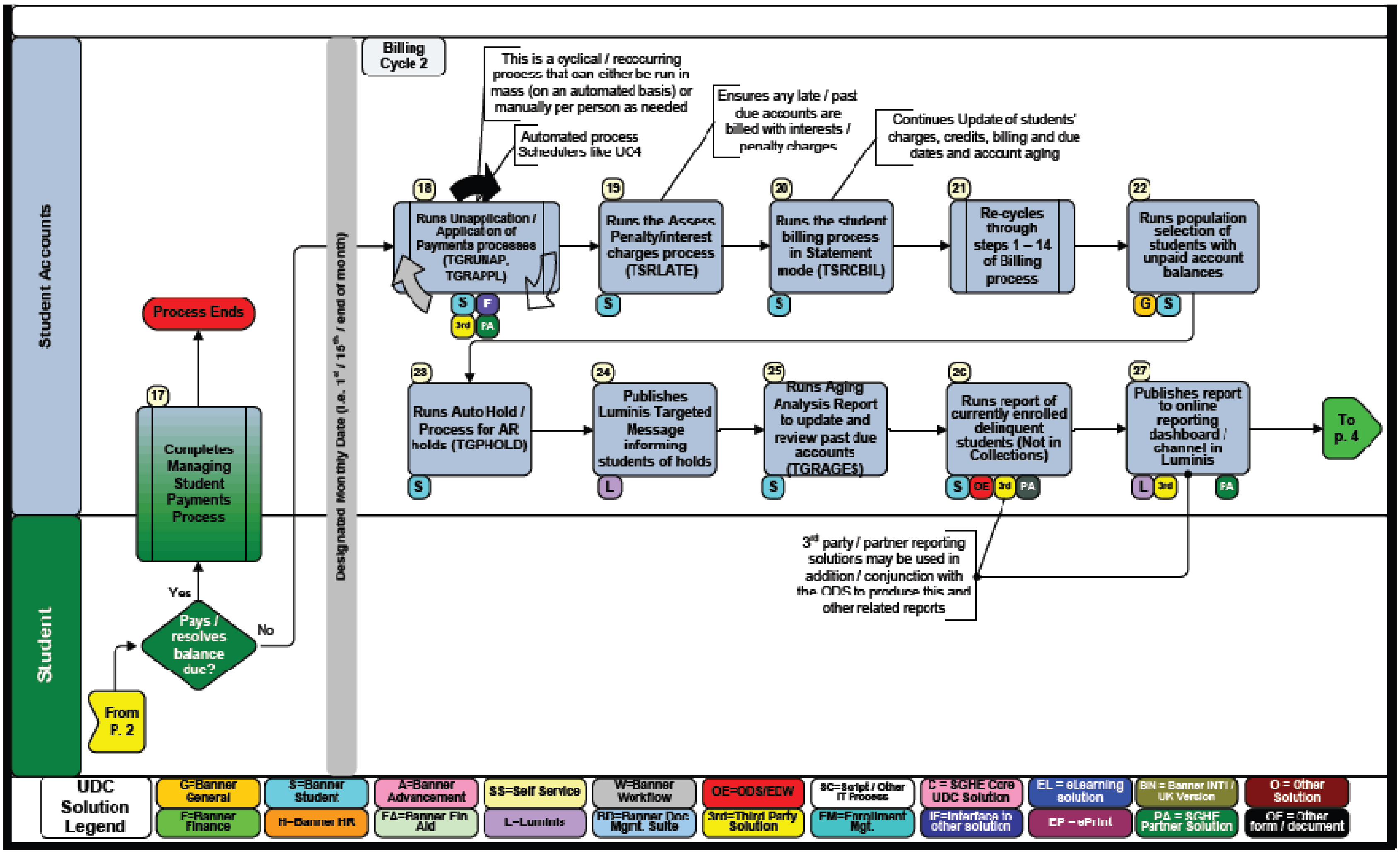
Who?	Does What?	Where?
1. Student Accounts	Establishes rules for student access to statements, charge and payment history	INB Banner Accounts Receivable Billing Control Form (TGACTRL)
2. Student Accounts	Maintains and updates schedule bill rules	INB Banner Schedule/Bill Rules Form (TSASBRL)
3. Student Accounts	Completes the 'Fee Assessment' process	See the 'Managing Fee Assessment' Process Overview document
4. Student Accounts / Student	Begins or continues the 'Registration Process'	See the 'Managing Student Registration' Process Overview document
5. Student Accounts / Student	Begins or continues the 'Payments' process	See the 'Managing Payments' Process Overview document
6. Student Accounts / Student	Begins or continues managing 3rd party contracts, exemptions, waivers and installment plans	See the 'Managing Student Accounts' Process Overview document
7. Student Accounts	If there are credits to be applied or adjusted on the student's account, runs the batch student billing process in APPLYCRED mode; credits can also be posted for an individual student	INB Banner Student Billing Statement Process (TSRCBIL), 3rd party / partner automated scheduling solution, Student Payment Form (TSASPAY)
8a. Student Accounts	Runs the student billing process in invoice mode (according to institution rules regarding whether or not to include the student's schedule information); running the student billing process in invoice mode updates students' charges without updating / aging their accounts	INB Banner Student Billing Statement Process (TSRCBIL), 3rd party / partner automated scheduling solution
8b. Student Accounts / Student	Begins or continues the drop / add of classes, followed by batch fee assessment	See the 'Managing Student Registration' Process Overview document, INB Banner Batch Fee Assessment Process (SFRFASC)
8c. Student Accounts / Student	Begins or continues the 'Refunding' process	See the 'Managing Refunds' Process Overview document
9. Student Accounts	At the end of the add / drop period, runs the student billing process in statement mode for 'Billing Cycle One' (according to institution rules regarding whether or not to include the student's schedule information)	INB Banner Student Billing Statement Process (TSRCBIL)



Student Accounts
Student
From P. 1
Using 3rd party pdf software?
Yes
No
3rd Party secure pdf solution
10a
Reviews / verifies automated pdf file conversion from Billing output file
10b
Runs delivered Perl script to store Billing output file to the database
11
Runs batch student email process to inform students of published statement
Email solution as identified by institution
12
Runs Total Billed Report to view totals of all charges billed (TSRBTOT)
15
Runs population selection of students with unpaid account balances
16
Runs batch student email process to warn delinquent students of holds
Email
To P. 3
14
Completes "Processing, Posting, and Managing Payments process
13
Logs onto Luminis, accesses "My Statement" to view and pay
Pays / resolves by due date?
No
Yes
Process Ends
UDC Solution Legend
G=Banner General
F=Banner Finance
S=Banner Student
H=Banner HR
A=Banner Advancement
FA=Banner Fin. Aid
SS=Self Service
L=Luminis
W=Banner Workflow
BD=Banner Doc. Mgmt. Suite
OE=ODS/EDW
3rd=Third Party Solution
SC=Script / Other IT Process
EM=Enrollment Mgt.
C = SGHE Core UDC Solution
IF=Interface to other Solution
EL = eLearning Solution
EP = ePrint
BN = Banner INTL / UK Version
PA = SGHE Partner Solution
O = Other Solution
OF = Other form / document

Follow these steps to begin the process:

Who?	Does What?	Where?
10a. Student Accounts	If using a 3rd party secure pdf solution, reviews and verifies automated pdf file conversion from Billing output file	3rd party secure pdf solution, INB Banner Student Billing Statement Process (TSRCBIL)
10b. Student Accounts	If not using a 3rd party secure pdf solution, runs delivered Perl script to store billing output file to the database	Banner Server, INB Banner Student Billing Statement Process (TSRCBIL)
11. Student Accounts	Informs students of the availability of published statements	Email solution, Luminis Portal (depending on institution decisions regarding communication methods)
12. Student Accounts	Runs the total billed report to view the totals of all charges billed	INB Banner Total Billed Report (TSRBTOT)
13. Student	Access his / her online statement to view and pay	Luminis Portal, Banner Self Service
14. Student Accounts	Completes the ‘Payments’ process for those accounts that are paid by the due date	See the ‘Managing Payments’ Process Overview document
15. Student Accounts	Runs a population selection for students with unpaid account balances	INB Banner Population Selection
16. Student Accounts	Generates communication to warn delinquent students (i.e. those students with unpaid account balances) of holds	INB Banner Letter Generation, Email solution, Luminis Portal (depending on institution decisions regarding communication methods)

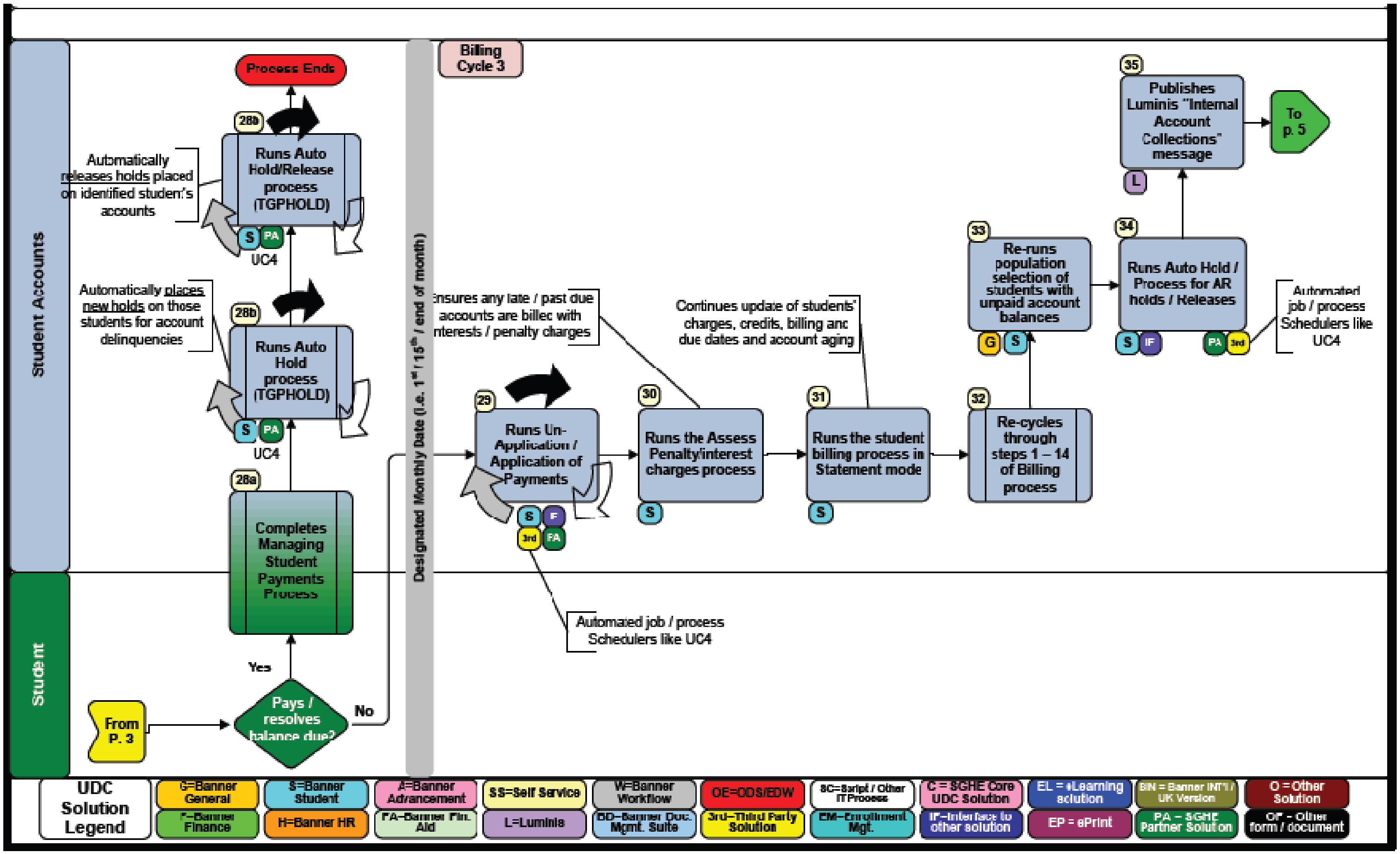


Student Accounts
Student
Billing Cycle 2
Designated Monthly Date (i.e. 1st / 15th / end of month)
This is a cyclical / reoccurring process that can either be run in mass (on an automated basis) or manually per person as needed
Automated process Schedulers like UC4
Ensures any late / past due accounts are billed with interests / penalty charges
Continues Update of students' charges, credits, billing and due dates and account aging
18
Runs Unapplication / Application of Payments processes (TGRUNAP, TGRAPPL)
19
Runs the Assess Penalty/interest charges process (TSRLATE)
20
Runs the student billing process in Statement mode (TSRCBIL)
21
Re-cycles through steps 1 – 14 of Billing process
22
Runs population selection of students with unpaid account balances
23
Runs Auto Hold / Process for AR holds (TGPHOLD)
24
Publishes Luminis Targeted Message informing students of holds
25
Runs Aging Analysis Report to update and review past due accounts (TGRAGES)
26
Runs report of currently enrolled delinquent students (Not in Collections)
27
Publishes report to online reporting dashboard / channel in Luminis
To p. 4
Process Ends
17
Completes Managing Student Payments Process
Pays / resolves balance due?
Yes
No
From P. 2
3rd party / partner reporting solutions may be used in addition / conjunction with the ODS to produce this and other related reports
UDC Solution Legend
G=Banner General
F=Banner Finance
S=Banner Student
H=Banner HR
A=Banner Advancement
FA=Banner Fin Aid
SS=Self Service
L=Luminis
W=Banner Workflow
BD=Banner Doc Mgmt. Suite
OE=ODS/EDW
3rd=Third Party Solution
SC=Script / Other IT Process
FM=Enrollment Mgt.
C = SGHE Core UDC Solution
IF=Interface to other solution
EL = eLearning solution
EP = ePrint
BN = Banner INTL / UK Version
PA = SGHE Partner Solution
O = Other Solution
OF = Other form / document

Follow these steps to begin the process:

Who?	Does What?	Where?
17. Student / Student Accounts	If the student has paid / resolved any outstanding balances prior to 'Billing Cycle Two', completes the 'Payments' process	See the 'Managing Payments' Process Overview document
18. Student Accounts	Runs the unapplication and application of payments processes; this is a cyclical reoccurring process that can either be run in mass (on an automated basis) or manually per person as needed	INB Banner Unapplication of Payment Process (TGRUNAP), Application of Payment Process (TGRAPPL), 3rd party / partner automated scheduling solution such as UC4, Account Detail Review Form (TSAAREV)
19. Student Accounts	Runs the assess penalty / interest charges process; ensures any late or past due accounts are billed with interest / penalty charges	INB Banner Assess Penalty / Interest Charges Process (TSRLATE)
20. Student Accounts	Runs the student billing statement process in statement mode for 'Billing Cycle Two' (according to institution rules regarding whether or not to include the student's schedule information); continues update of students' charges, credits, billing and due dates and account aging	INB Banner Student Billing Statement Process (TSRCBIL)
21. Student Accounts	Recycles through Steps 1 – 14 of the 'Billing and Collections' Process	
22. Student Accounts	Runs a population selection to identify students who continue to have unpaid account balances	INB Banner Population Selection
23. Student Accounts	Runs the auto-hold process to place accounts receivable holds on delinquent students (this will impact the students' ability to access defined functions according to institutional rules)	INB Banner Auto Hold/Release Process (TGPHOLD)
24. Student Accounts	Generates communication to advise delinquent students (i.e. those students with unpaid account balances) of holds	INB Banner Letter Generation, Email solution, Luminis Portal (depending on institution decisions regarding communication methods)
25. Student Accounts	Runs the aging analysis report to update and review past due accounts	INB Banner Aging Analysis Report (TGRAGES)

26. Student Accounts	Runs a report of currently enrolled delinquent students (those students who have not yet been placed in collections); 3rd party / partner reporting solutions may be used in conjunction with the ODS to produce this and other related reports	3rd party / partner reporting solution, ODS / EDW, Cognos
27. Student Accounts	Publishes report online to appropriate administrators; 3rd party / partner reporting solutions may be used in conjunction with the ODS to produce this and other related reports	3rd party / partner reporting solution, ODS / EDW, Cognos

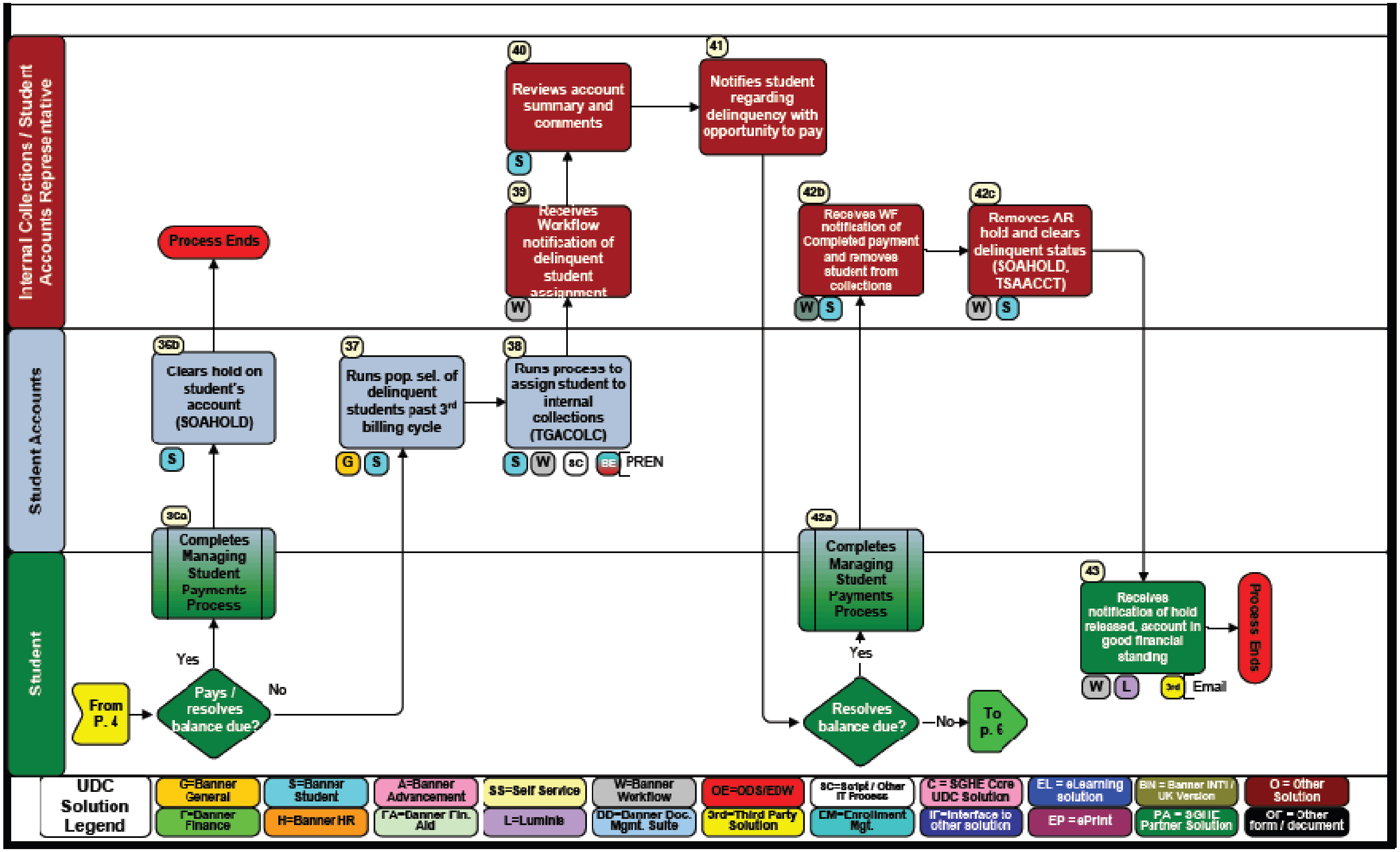


© SunGard Higher Education 2010

Follow these steps to begin the process:

Who?	Does What?	Where?
28a. Student / Student Accounts	If the student has paid / resolved any outstanding balances prior to 'Billing Cycle Two', completes the 'Payments' process	See the 'Managing Payments' Process Overview document
28b. Student Accounts	Runs the auto hold process (in Hold mode) for each of the predefined hold rules; this automatically places new holds on those students according to the predefined hold rules typically based on the amount of the delinquency	INB Banner Auto Hold/Release Process (TGPHOLD)
28c. Student Accounts	Runs the auto hold process (in Release mode) for each of the predefined hold rules; this automatically releases previous holds for students who no longer meet the accounts receivable hold rules	INB Banner Auto Hold/Release Process (TGPHOLD)
29. Student Accounts	Runs the unapplication and application of payments processes; this is a cyclical reoccurring process that can either be run in mass (on an automated basis) or manually per person as needed	INB Banner Unapplication of Payment Process (TGRUNAP), Application of Payment Process (TGRAPPL), 3rd party / partner automated scheduling solution such as UC4, Account Detail Review Form (TSAAREV)
30. Student Accounts	Runs the assess penalty / interest charges process; ensures any late or past due accounts are billed with interest / penalty charges	INB Banner Assess Penalty / Interest Charges Process (TSRLATE)
31. Student Accounts	Runs the student billing statement process in statement mode for 'Billing Cycle Three' (according to institution rules regarding whether or not to include the student's schedule information); continues update of students' charges, credits, billing and due dates and account aging	INB Banner Student Billing Statement Process (TSRCBIL)
32. Student Accounts	Recycles through Steps 1 – 14 of the 'Billing and Collections' Process	
33. Student Accounts	Runs a population selection to identify students who continue to have unpaid account balances	INB Banner Population Selection

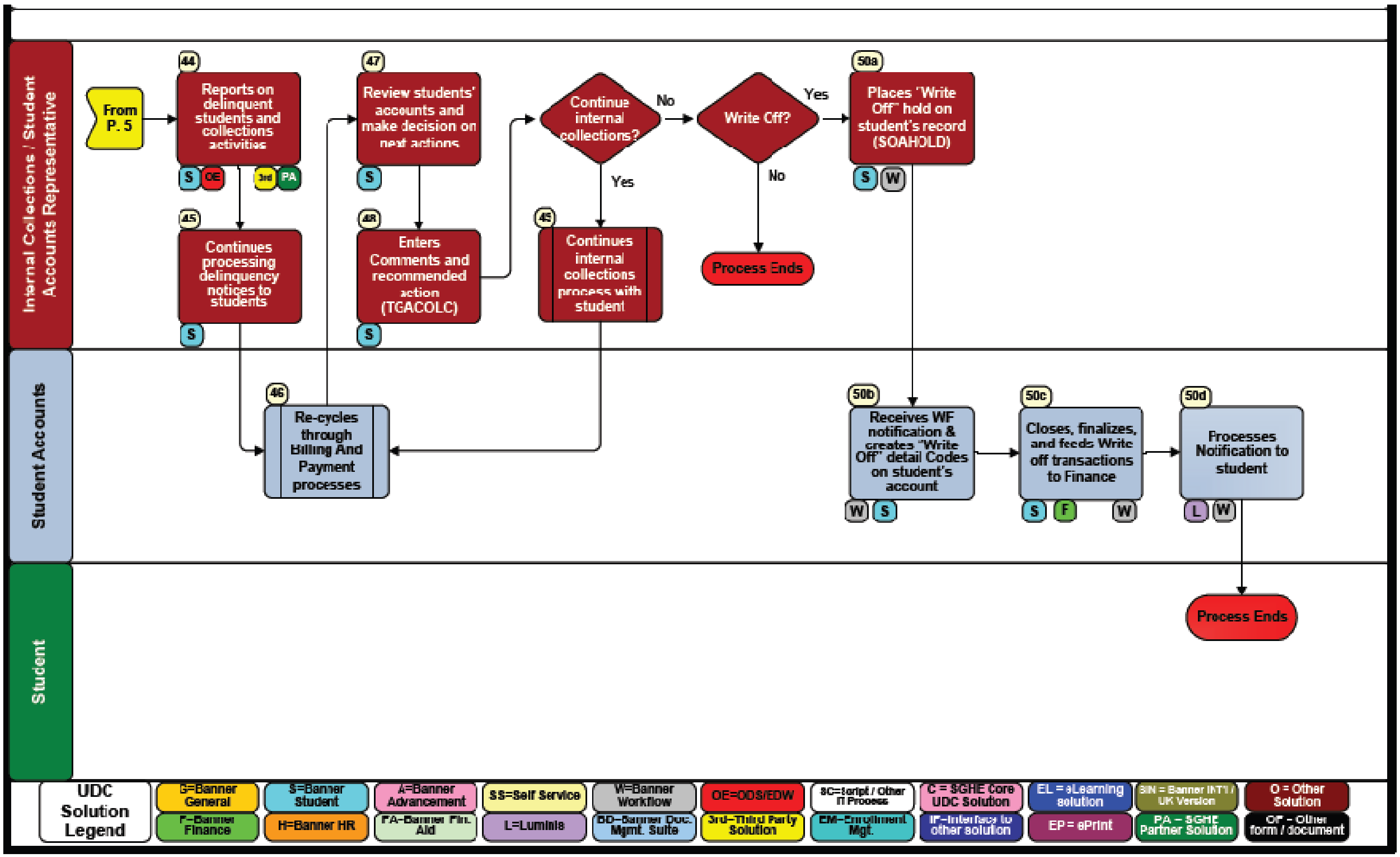
34. Student Accounts	Runs the auto-hold process to place accounts receivable holds on delinquent students (this will impact the students' ability to access defined functions according to institutional rules)	INB Banner Auto Hold/Release Process (TGPHOLD)
35. Student Accounts	Generates communication to advise delinquent students (i.e. those students with unpaid account balances) of forthcoming internal collections	INB Banner Letter Generation, Email solution, Luminis Portal (depending on institution decisions regarding communication methods)



© SunGard Higher Education 2010

Follow these steps to begin the process:

Who?	Does What?	Where?
36a. Student / Student Accounts	If the student has paid / resolved any outstanding balances, completes the 'Payments' process	See the 'Managing Payments' Process Overview document
36b. Student Accounts	Clears accounts receivable hold for students that have paid / resolved outstanding balances	INB Banner Hold Information Form (SOAHOLD)
37. Student Accounts	Runs a population selection to identify students who continue to remain delinquent past the 3rd billing cycle	INB Banner Population Selection
38. Student Accounts	Runs a process to assign delinquent students to Internal Collections (this could be done via a predefined script or using the Process Rules Engine to add information to the collections form); running the process / script triggers a workflow notification to the Internal Collections department	Banner Server, Proces Rules Engine, INB Banner Collections Form (TGACOCL), Banner Workflow
39. Internal Collections	Receives notification of delinquent student assignment	Banner Workflow
40. Internal Collections	Searches for and reviews account summary and comments information	INB Banner Account Detail Review Form (TSAAREV), Account Detail Form (TSADETL), Account Review Form (TSAACCT)
41. Internal Collections	Notifies student regarding delinquency and provides opportunity to pay	Banner Workflow, Luminis Portal,
42a. Student / Student Accounts	If the student has paid / resolved any outstanding balances, completes the 'Payments' process	See the 'Managing Payments' Process Overview document
42b. Internal Collections	Receives notification of completed payment and removes from collection	Banner Workflow, INB Banner Collections Form (TGACOCL)
42c. Internal Collections	Removes accounts receivable hold and clears delinquent status	INB Banner Hold Information Form (SOAHOLD), Account Review Form (TSAACCT), Banner Workflow
43. Student	Receives notification of hold release and account in good financial standing	Banner Workflow, Luminis Portal



© SunGard Higher Education 2010

Follow these steps to begin the process:

Who?	Does What?	Where?
44. Internal Collections	Reports on delinquent students and collections activities; 3rd party / partner reporting solutions may be used in conjunction with the ODS to produce this and other related reports	3rd party / partner reporting solution, ODS / EDW, Cognos
45. Internal Collections	Continues notifications to students who are still delinquent and provides further opportunity to pay	Banner Workflow
46. Student Accounts	Continues the 'Billing' and 'Payments' processes	As per previous steps in this document; See also 'Managing Payments' Process Overview document
47. Internal Collections	Reviews delinquent students' accounts and makes decisions on next actions	INB Banner Account Detail Review Form (TSAAREV), Account Detail Form (TSADETL), Account Review Form (TSAACCT)
48. Internal Collections	Enters comments and recommended action	INB Banner Collection Form (TGACOLC)
49. Internal Collections	Continues 'Internal Collections' process with students where the recommendation is to continue	
50a. Internal Collections	If the decision is to write off the debt, a 'Write Off' hold is placed on the student's record	Banner Workflow, INB Banner Hold Information Form (SOAHOLD)
50b. Student Accounts	Receives notification of write off and adds a write off detail code transaction to the student's account, along with reference information and comments	Banner Workflow, INB Banner Account Detail Form (TSADETL)
50c. Student Accounts	Closes, finalizes and fees write off transactions to the Finance system	Banner Workflow, INB Banner Cashier Session Review Form (TGACREV), Cashier Session Close Process (TGRCLOS), Accounting Feed Process (TGRFEED)
50d. Student Accounts	Notifies student of the hold and its consequences	Banner Workflow, Email solution, Luminis Portal (depending on institution decisions regarding communication methods)

What Happens Next

- Student's accounts are updated
- Payment processing continues

Process Recommendations:

- Policies and procedures need to be developed to ensure a smooth exchange of information between the Banner Student system and the Finance system; this will be facilitated if Banner Finance is the system of choice since these two systems are inherently integrated.
    - Detail codes should be carefully constructed and fully tested prior to use, as they result in the equivalent of posting a balanced transaction to Finance.
    - The Student Account feed from the Banner Student Accounts Receivable module to the Finance General Ledger should be run as a nightly process.
- Banner should be the system of record for processing all student charges and payments to ensure accurate and complete billing.
- Utilize e Banner Student Billing process to include all charges that are posted to the student account. For instance, transportation, text books, housing and meal charges can be placed directly on each student's account and included with each bill.
- Self-Service functionality should be fully enabled to allow for assessment, account review and payment by the student. Students can view both summary and detailed information of their accounts.
- Implement a more regulated billing cycle that begins aging the account and identifying delinquencies after each billing period. A recommended billing cycle is every 30 days. Prior to running the billing process it is essential that student accounts ensure that all fees and payments have been correctly applied to students' accounts based on their appropriate priority and application method. Also, any fees entered in 3rd party systems should be uploaded to the students' accounts in Banner student prior to running the billing cycle. Finally, any financial aid to be received by students (including stipends) should be disbursed, authorized, and / or memo'd on the students' accounts prior to running the billing process.
- Banner's new E-bill functionality should be used to store copies of all students' semester billing statements in the Banner database. The student would then be able to view copies of his or her bill online through Banner Self-Service for Student. Third party software could also be used to convert these semester billing statements into a PDF format. The billing statements in PDF format could then be stored in the database. Staff in the Bursar's Office would also be able to view these stored statements through Banner INB. Alternatively, SAMPLE UNIVERSITY could elect to run the billing process but not send out bills. In this case, a notification should be sent to students that accounts have been updated and advising them to view and pay online.
- Develop a communication plan for notifying students in advance of running bills. This communication plan should also warn those students who may become delinquent of the potential consequences of their delinquencies. Communications should be sent to students in the form of email and / or web-based announcements within the Portal / Self Service

- Develop an "In-house" collections method. This could help increase collections and AR revenue, as well as prevent further fees from being assessed on a student's record.
- It is essential that SAMPLE UNIVERSITY develop a clear reporting strategy that identifies and addresses each of their reporting needs. In order to achieve this, the university will need to identify and prioritize their reporting needs, as well as determine what baseline reports will meet their "transactional" reporting needs versus the statistical / data comparison / trends analysis types of reports the university will want as a way to improve enrolment management practices.
- Develop, document and maintain clear and concise procedure guides specific to the policies and practice of SAMPLE UNIVERSITY, to help users when entering data. This should include, for example, information regarding:
  - Which Banner forms and fields will be used and why
  - Which codes will be used, when and why
  - Definition of Terms e.g. what is meant by 'invoice' versus 'statement' analysis.

BUSINESS PROCESS MODELING PORTFOLIO MATRIX

Enterprise Services & Applications →

Strategic Functions/ Supporting Processes ↓

	PROCESS APPLICATION ALIGNMENT	BANNER ADMINISTRATIVE SYSTEM SOLUTIONS	Banner General	Banner Student	Banner Curriculum Advising and Program Planning (CAPP)	Banner Integration for eLearning	Banner Student Accounts Receivable	Banner Financial Aid	Banner Human Resources	Banner Finance	Banner Integration for eProcurement	Banner Advancement
Student UDC Processes:												
Processing, Managing, and Tracking New Recruits			X	X								
Processing, Managing, and Tracking Admissions Applicants			X	X								
Processing and Managing Transfer Evaluations			X	X	X							
Registering Students			X	X	X	X						
Advising Students			X	X	X	X						
Managing the Course Approval, Catalog and Class Schedule			X	X	X	X						
Managing Student Billing (and Payments)			X	X			X	X		X		
Managing End of Day Processes (Cashiering and AR feeds)			X	X			X			X		
Financial Aid UDC Processes:												
Processing Financial Aid Applicants			X					X				
Managing Requirements Tracking and Communication			X					X				

	BANNER SELF SERVICE SOLUTIONS	Recruitment	Admissions	Student / Faculty	Financial Aid	Human Resources	Finance	Alumni and Friends	Advancement Officer
Student UDC Processes:									
Processing, Managing, and Tracking New Recruits		X							
Processing, Managing, and Tracking Admissions Applicants			X						
Processing and Managing Transfer Evaluations			X						
Registering Students				X					
Advising Students				X					
Managing the Course Approval, Catalog and Class Schedule				X					
Managing Student Billing (and Payments)				X			X		
Managing End of Day Processes (Cashiering and AR feeds)				X					
Financial Aid UDC Processes:									
Processing Financial Aid Applicants					X				
Managing Requirements Tracking and Communication					X				

	BANNER ENROLLMENT MANAGEMENT SUITE	Recruiting and Admissions Relationships	Student Relationships	Advancement Relationships	Recruiting and Admissions Performance	Student Retention Performance	Advancement Performance	POWER CAMPUS ADMINISTRATIVE SOLUTIONS	Power Campus - Student	PowerFAIDS	Power Campus Finance	Power Campus Advancement	ADVANCE SOLUTIONS (FOR ADVANCEMENT)	Advance Document Management	Advance Web Community	Advance Special Events	Advance Ticketing Profi	Advance Special	Advance	SC
Student UDC Processes:																				
Processing, Managing, and Tracking New Recruits		X			X															
Processing, Managing, and Tracking Admissions Applicants		X			X															
Processing and Managing Transfer Evaluations																				
Registering Students																				
Advising Students																				
Managing the Course Approval, Catalog and Class Schedule																				
Managing Student Billing (and Payments)																				
Managing End of Day Processes (Cashiering and AR feeds)																				
Financial Aid UDC Processes:																				
Processing Financial Aid Applicants																				
Managing Requirements Tracking and Communication																				

PRESIDENTS QUARTERLY MEETING
February 2011

DATE: Presidents Meeting (February 15, 2011)

AGENDA ITEM: Status of Use of State Fiscal Stabilization Funds (SFSF)

ACTION: For Discussion

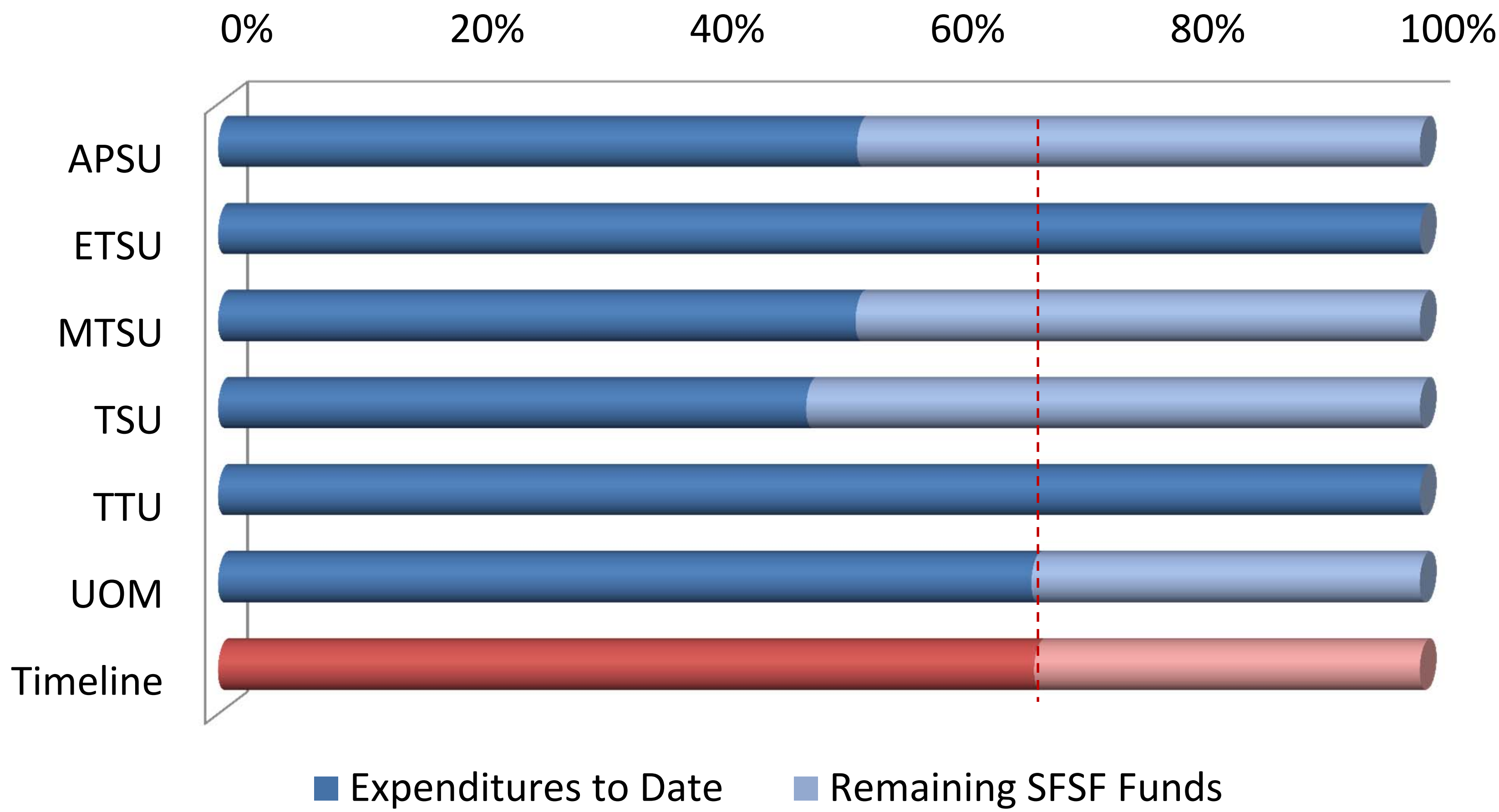
PRESENTER: Wendy Thompson and Dale Sims

BACKGROUND INFORMATION:

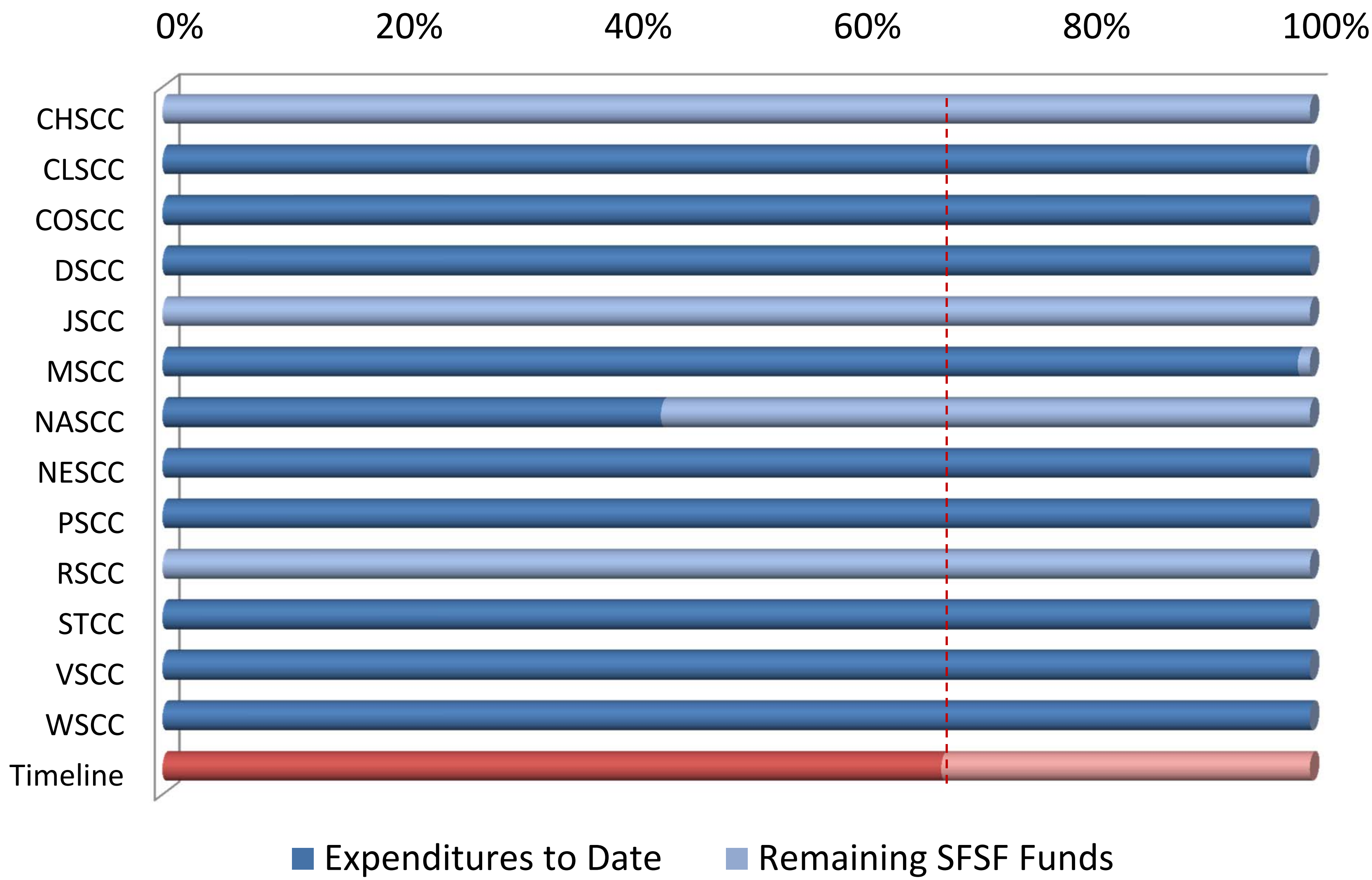
The attached charts provide a visual representation of each institution's operating and Centers of Excellence/Emphasis State Fiscal Stabilization Fund (SFSF) spending as compared to the spending timeline (June 2009 through September 2011). The charts are as of December 31, 2010, and have been adjusted to exclude the FY 2010-11 funds reclassified from SFSF to nonrecurring appropriations.

These charts are provided for your information only. While no response is required, several institutions are far behind the timeline in spending SFSF operating funds, SFSF COE funds, or both. Please keep in mind that as of December 31, 2010, only nine months remain in which to obligate SFSF funds and that all funds obligated must be expended by December 31, 2011.

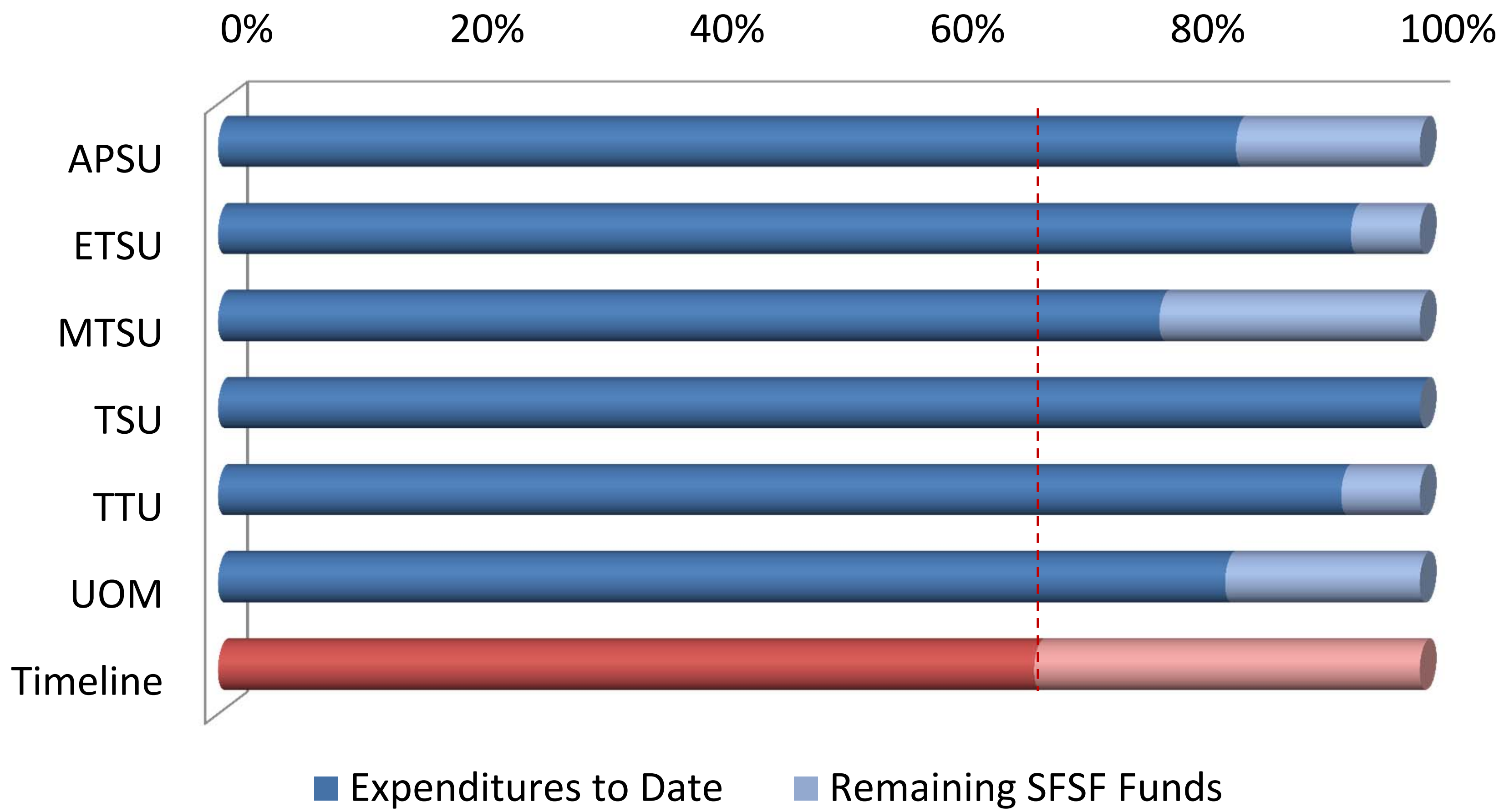
SFSF Centers of Excellence Funds As Of December 31, 2010



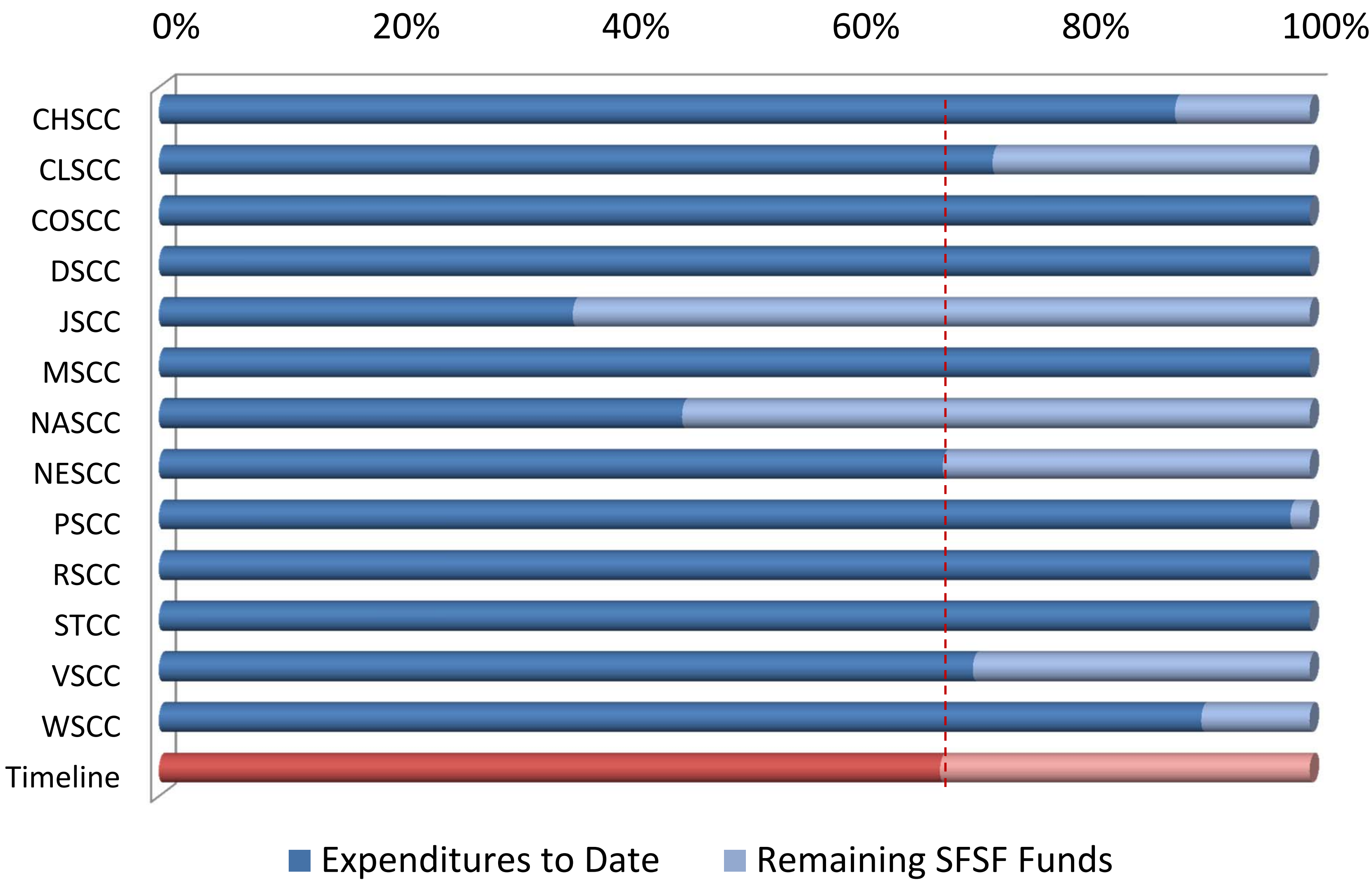
SFSF Centers of Emphasis Funds As Of December 31, 2010



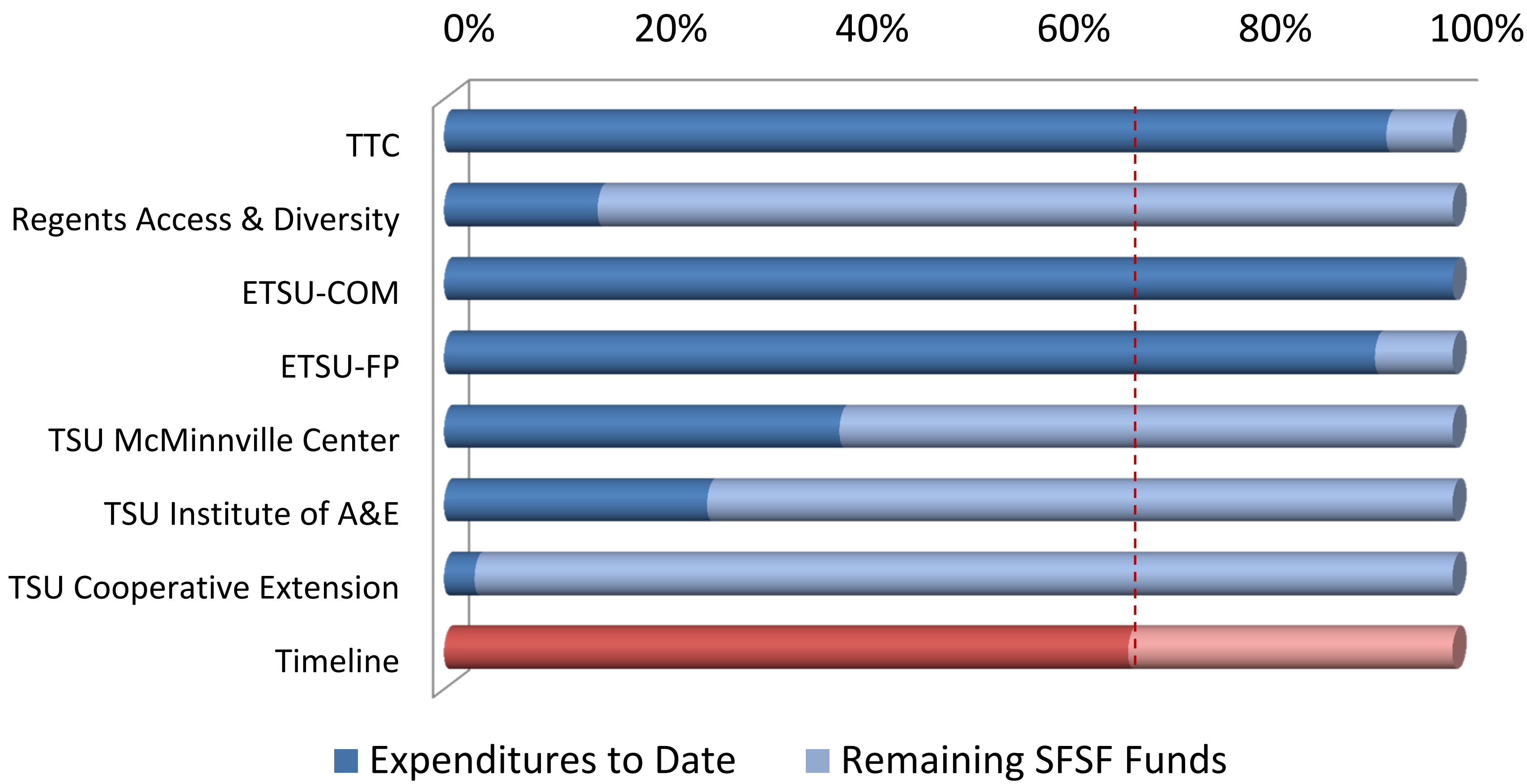
SFSF Operating Funds
As Of December 31, 2010



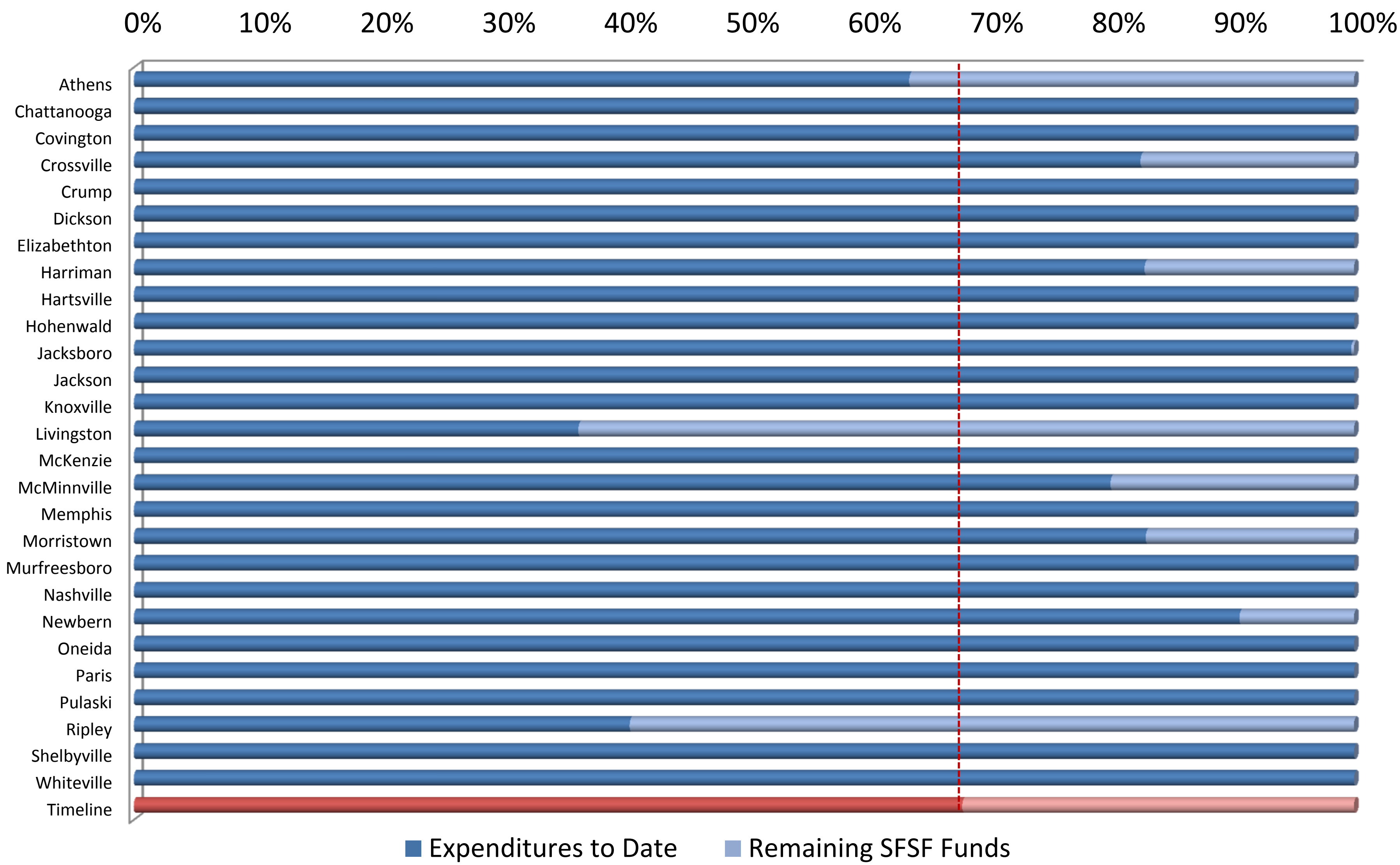
SFSF Operating Funds
As Of December 31, 2010



SFSF Operating Funds
As Of December 31, 2010



SFSF Operating Funds
As Of December 31, 2010



PRESIDENTS QUARTERLY MEETING
DIRECTORS QUARTERLY MEETING
February 2011

DATE:	Presidents Meeting (February 15, 2011) Directors Meeting (February 16, 2011)
AGENDA ITEM:	ARRA Audit Finding
ACTION:	For discussion purposes only
PRESENTER:	Vice Chancellor Dale Sims

BACKGROUND INFORMATION:

The finding taken for the TBR system by State Audit as part of their Single Audit which will be transmitted to the appropriate Federal agency was specific to ARRA funds and reviewed use of funds in 36 of 45 institutions.

- Three institutions did not follow established controls requiring monthly reviews of SFSF program reports and reconciliations between the SFSF expenditures recorded at the institution and the amounts reported to TBR.
- One TBR institution did not have the requisition and purchase order approved before purchasing goods with SFSF funds as required by institutional purchasing policies and procedures.
- Two TBR institutions did not tag equipment or include serial numbers and model numbers on the property listing when accounting for equipment purchased with SFSF funds as required by institutional property policies and procedures.

In responding to the audit finding, TBR committed to communicating the problems to all institutions and to emphasizing policies and procedures for use of all funds, but specifically as they relate to ARRA funds.

Management's Comment

We concur in part. A few of the noted exceptions actually predate the implementation of the current TennCare management information system in 2004. Several of the noted exceptions predate the current *Security Unit Procedure Guide for Provisioning (Granting Access)* and predate substantial documentation, system and process changes that the Bureau has implemented over the last several years. The Bureau has implemented these changes to enforce compliance with documented policy and procedure and to reduce the risk of human error. The current documentation, systems and process are designed to prevent the noted historical deficiencies and so we do not believe that these exceptions represent a significant vulnerability in current system access management activities. The remainder of the noted exceptions relate to actions that were executed for multiple users as part of broader authorized activity. These actions were executed consistent with established practice for such actions and did not result in any unintended or inappropriate access. Notwithstanding these comments, and consistent with our ongoing focus on quality improvement, the Bureau will initiate additional actions to address historical deficiencies and will implement additional system and process changes and controls in response to this finding. We will initiate and complete several major activities within the current fiscal year. Other changes will begin in the current fiscal year but will continue into the following year. The Bureau risk assessment did identify risks and mitigating controls related to system security administration. We will revise and expand the risk assessment to capture additional detail.

__State Fiscal Stabilization Funds Cluster__

Finding Number	PP10-TBR-01
CFDA Number	84.394 and 84.397
Program Name	State Fiscal Stabilization Funds
Federal Agency	U.S. Department of Education
State Agency	Tennessee Board of Regents
Grant/Contract No.	S394A090043 and S397A090043
Finding Type	Significant Deficiency
Compliance Requirement	Equipment and Real Property Management, Procurement and Suspension and Debarment, and Reporting
Questioned Costs	$0

__Some institutions under the Tennessee Board of Regents' statutory responsibility failed to follow established policies and procedures for ARRA reports, purchases, and property, which increased the risk of errors, noncompliance, fraud, waste, and abuse__

Finding

Under the American Recovery and Reinvestment Act of 2009 (ARRA), the state received $321,458,899.85 in State Fiscal Stabilization Funds (SFSF). Of that total, the

Tennessee Board of Regents (TBR) expended $89,609,509.82, with the 26 Tennessee Technology Centers (TTC) expending $5,268,544.10 or 5.88% of the TBR total. According to Section 14004 (a) of the Act, the funds provided to public institutions for higher education through the SFSF program were to be used as follows:

> ...to mitigate the need to raise tuition and fees for in-State students, or for modernization, renovation, or repair of institution of higher education facilities that are primarily used for instruction, research, or student housing, including modernization, renovation, and repairs that are consistent with a recognized green building rating system.

Within the program's guidelines, TBR institutions were authorized to use the ARRA SFSF monies to purchase equipment, pay salaries and benefits, and to fund voluntary employee buyouts.

TBR has governance over all state universities, community colleges, and technology centers, other than the University of Tennessee system. According to the TBR website, the board has established standardized policies to ensure institutional accountability. These policies establish both standards for consistency among the institutions and defined parameters to promote institutional flexibility and discretion. All TBR institutions are required to follow TBR system policies and guidelines and incorporate them into their own campus policies and guidelines. TBR, through state statute, has the responsibility to ensure that the institutions under its governance follow established policies and procedures.

We reviewed the State Fiscal Stabilization Funds received at 36 of the 45 TBR institutions and noted that:

- Three TBR institutions did not follow established controls requiring monthly reviews of SFSF program reports and reconciliations between the SFSF expenditures recorded at the institution and the amounts reported to TBR.
- One TBR institution did not have the requisition and purchase order approved before purchasing goods with SFSF funds as required by institutional purchasing policies and procedures.
- Two TBR institutions did not tag equipment or include serial numbers and model numbers on the property listing when accounting for equipment purchased with SFSF funds as required by institutional property policies and procedures.

Specific details of these discrepancies are described below.

ARRA Reviews and Reconciliations Not Performed

As a result of our review of monthly ARRA reports and reconciliations, we found that management and staff of 3 of 36 TBR institutions reviewed (8%) had not performed reviews and reconciliations as required by their institutional policies. In their risk assessments, all three institutions listed supervisory review as an internal control that would be utilized to decrease the risk of inaccurate reporting. However, we noted that the control was not in place or was not operating effectively. We found the following:

- Based on our review of the payroll registers, monthly Tennessee Recovery Act Management (TRAM) Track reports, and the September 9, 2010, detailed expenditure listing, the Assistant Director at TTC Crossville failed to review and reconcile the above mentioned reports for four of the five months tested (80%). We also found that several amounts reported in the detailed expenditure listing were incorrect. The ARRA SFSF detailed expenditure listing reported total expenditures through June 30, 2010, as $262,850.68. However, the drawdown report provided by the Department of Finance and Administration reported TTC Crossville's ARRA SFSF expenditures as $249,895.76. We determined that part of the difference of $12,954.92 was caused by a $12,980.46 draw request made by the Assistant Director for the month of June. The Assistant Director later retracted the draw request without citing a specific reason for the retraction. While the net difference between the two reported amounts was only $25.54, the fact that management failed to review and reconcile the reports increased the risk that errors, noncompliance, fraud, waste, and abuse could occur and not be detected promptly. Also, because TTC Crossville management and staff failed to perform the control reviews and reconciliations and were not aware of the errors until we told them, they reported the inaccurate information to their lead institution, Roane State Community College (RSCC), who subsequently reported inaccurately to TBR. In this instance, TTC Crossville staff failed to report all ARRA expenditures to RSCC and TBR. According to RSCC, TTC Crossville's Assistant Director was supposed to review the payroll registers and the Organization Detail Activity report on a monthly basis and perform the monthly reconciliations to ensure accurate records were maintained. In addition, according to RSCC's policy, TTC Crossville is required to notify RSCC of any errors noted so the errors can be corrected the following month. However, because the Assistant Director at TTC Crossville did not perform the reviews and reconciliations, he was not aware of the errors. Once we brought this to RSCC management's attention, the errors were corrected.

- Based on our review of a sample of TTC McMinnville's monthly Organization Detail Activity reports and our discussion with the Coordinator of Fiscal Services II, she failed to reconcile Banner records to QuickBooks for the month of April 2010. Normally, the Coordinator of Fiscal Services II reconciles QuickBooks to the Banner records and then reconciles the Banner records to the Organization Detail Activity reports. Although we noted no errors or discrepancies, management and staff's failure to reconcile this information increases the risk of inaccurate financial records and financial reports.

- In our review of the monthly reports at Cleveland State Community College, we noted that the Vice President for Finance and Administration failed to review the December 2009 Summary, TRAM Track, and Organization Detail Activity reports to ensure the accuracy of the required reports. Although we noted no errors or discrepancies, without an adequate review, management cannot ensure that the information is properly reported to TBR.

All recipients of federal funds under ARRA are required by Section 1512 to report the amount of funds expended and the purposes of those expenditures. Failure to review and reconcile SFSF program reports increases the risk that expenditures will not be accurately reported in the institutions' financial reports or in the required ARRA Section 1512 reports. In addition, without a routine process of performing monthly reviews of reports and reconciliations, management has not mitigated the increased risks of errors, noncompliance, fraud, waste, and abuse of program expenditures.

Purchasing Policies and Procedures Not Followed

As a result of our review of ARRA-funded procurement transactions, we found that management and staff of 1 of 36 TBR institutions audited (2.78%) did not follow purchasing policies and procedures when purchasing goods. According to TTC Harriman's purchasing policies and procedures, the Director is required to approve a purchase requisition, and then the Coordinator of Fiscal Services prepares a purchase order to be approved by the Director. Once the requisition and purchase order have been approved, then staff is authorized to purchase the item. Based on our review of the supporting documents, we found that for one of 13 items tested at TTC Harriman (8%), staff did not complete the requisition and purchase order until two days after the vendor invoice was received. Therefore, TTC Harriman staff purchased items using federal ARRA SFSF funds without proper approval. Subsequently, approval for the purchase was obtained. The purchase was for an allowable item and totaled $1,060.

In addition, TTC Harriman did not address the risk of management's and staff's failure to follow established purchasing policies and procedures in its ARRA-specific risk assessment. It is management's responsibility to adequately evaluate its institution to ensure that risks material to the program have been identified and controls have been implemented and are functioning effectively. Failure to follow the purchasing policies and procedures increases the risk of unallowable and unnecessary purchases including the increased risks of errors, noncompliance, fraud, waste, and abuse. Management's approval process is an integral part of internal control over purchasing which decreases the risks identified.

Property Policies and Procedures Not Followed

As a result of our review of ARRA-funded equipment items purchased, we found that management and staff at 2 of 36 TBR institutions audited (6%) did not follow the property policies and procedures when purchasing equipment. The specific instances are discussed below.

- The Director of Procurement and Business Services at Tennessee State University (TSU) failed to tag two of eight pieces of equipment that we examined (25%). The university received the equipment between June 7 and June 11, 2010; however, at the time of our examination on October 21, 2010, the equipment had not been tagged. According to TSU's *Property Management Manual*, each department is responsible for ensuring that all equipment and property costing over $1,000 is accounted for and properly tagged. The policy also states that it is Central Receiving's responsibility to affix the tag numbers to the equipment prior to delivering the items. The tags were stapled to the paperwork for the items, and the Central Shipping and Receiving Supervisor affixed the correct tags to the items prior to our departure.

- The Director at TTC Harriman failed to record the serial number and/or model number in the center's property records for two of four ARRA equipment items (50%). Office of Management and Budget Circular A-110, *Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, Hospitals and Other Non-Profit Organizations* states, "The recipient's property management standards for equipment acquired with Federal funds and federally-owned equipment shall include . . . (ii) Manufacturer's serial number, model number, Federal stock number, national stock number, or other identification number." Once we brought these deficiencies to management's attention, the Business Office Secretary added the information to the property records.

Failure to tag equipment upon receipt and to maintain complete equipment records impedes an institution's ability to properly account for its assets, which increases the risk of asset misappropriation or loss.

In addition, TSU did not include the risk of management's and staff's failure to follow established property policies and procedures in its ARRA-specific risk assessment. As noted above, it is management's responsibility to adequately evaluate its institution to ensure that risks material to the program have been identified and controls have been implemented and are functioning effectively to mitigate the potential risks of errors, noncompliance, fraud, waste, and abuse.

Because TBR has been entrusted with the responsibility of governing and managing 45 state educational institutions, proper oversight is critical to achieving reasonable assurance that the institutions follow TBR's established policies and procedures as well as their own institutional policies and procedures. Without appropriate TBR oversight and institutional managements' commitment to follow established internal control processes, which are designed to ensure accurate reporting of transactions and proper expenditure of federal funds, institutional management cannot effectively mitigate the risks of errors, noncompliance, fraud, waste, and abuse.

Recommendation

TBR should continue to be vigilant in its oversight role to help ensure that the 45 state educational institutions under its governance and management follow established policies and procedures to decrease the risks of errors, noncompliance, fraud, waste, and abuse. As part of its oversight function:

- TBR should remind the Assistant Director at TTC Crossville, the Coordinator of Fiscal Services II at TTC McMinnville, and the Vice President for Finance and Administration at Cleveland State Community College of the importance of following the institutions' policies and procedures by consistently performing monthly reviews and reconciliations.

- TBR should communicate to the Director at TTC Harriman the importance of ensuring that established purchasing policies and procedures are consistently followed by first completing a requisition, having the requisition approved by the authorized individual, and finally generating a purchase order before a purchase is made. TBR should also ensure that the appropriate personnel at TTC Harriman update the institution's ARRA-specific risk assessment to address the risks associated with not following purchasing policies and procedures and ensure that there are controls in place to mitigate the risks noted in the risk assessment.

- TBR should remind the Director of Procurement and Business Services at TSU and the Director at TTC Harriman of the importance of consistently following property/equipment policies and procedures and ensuring that all new equipment is tagged when received and property records contain all pertinent information. TBR should also ensure that the appropriate personnel at TSU update the institution's ARRA-specific risk assessment to address the risks associated with not following property policies and procedures and ensure that there are controls in place to mitigate the risks noted in the risk assessment.

Management's Comments

Tennessee Board of Regents

We concur that TBR should continue to be vigilant in fulfilling its oversight role. Examples of current oversight activities include: conducting quarterly meetings of institutional leadership staff in various functional areas to review policies and procedures and the results of internal and external audits; the review and approval of certain purchasing, personnel, and other transactions by TBR staff to ensure compliance with state law and TBR policies; quarterly discussion of significant operational issues with institutional Presidents and Directors; and a system wide internal audit effort. As part of these activities, TBR will emphasize to all institutional leadership: (1) the importance of following policies and procedures regarding monthly reviews and reconciliations; (2) the importance of ensuring that purchasing policies and procedures are consistently followed; (3) the importance of consistently following property/equipment policies and procedures; and (4) the importance of performing risk assessments, including the design and testing of controls to mitigate against the potential for errors, noncompliance, fraud, waste, and abuse.

Department of Finance and Administration

We concur with state audit's recommendation and the management comments from the Tennessee Board of Regents.

Finding Number	PP10-DOC-01
CFDA Number	84.394 and 84.397
Program Name	State Fiscal Stabilization Funds
Federal Agency	U.S. Department of Education
State Agency	Tennessee Department of Correction
Grant/Contract No.	S394A090043 and S397A090043
Finding Type	Significant Deficiency
Compliance Requirement	Other
Questioned Costs	$0

Management at the Department of Correction failed to develop a program-specific risk assessment process for ARRA funds, thus increasing the risk of noncompliance

Finding

The Director of Budget and Fiscal Services at the Department of Correction failed to comply with Tennessee Recovery Act Management (TRAM) directives by not ensuring that an American Recovery and Reinvestment Act of 2009 (ARRA) risk assessment process was developed for the State Fiscal Stabilization Fund (SFSF) monies the department received. An ARRA-specific risk assessment process was required by TRAM Directive 8, which states:

> All recipients and subrecipients of ARRA funds are required to adopt a risk assessment process for all ARRA programs to include risk identification, risk evaluation and mitigation plans. The risk assessment must also include items that address meeting program requirements and objectives.

PRESIDENTS QUARTERLY MEETING
DIRECTORS QUARTERLY MEETING
February 2011

DATE:	Presidents Meeting (February 15, 2011) Directors Meeting (February 16, 2011)
AGENDA ITEM:	Proposed Revisions to Guideline B-060 – Fees, Charges, Refunds and Fee Adjustments
ACTION:	Voice Vote
PRESENTER:	Vice Chancellor Dale Sims

BACKGROUND INFORMATION:

Pursuant to TCA 49-7-113 (see attached), exceptions exist for certain disabled and elderly students, as well as state service retirees. For audit courses, no fee is required for persons who meet the requirements defined in Tennessee Code Annotated. The suggested revisions are necessary in order to clarify for institutions what defines a special course fee when determining fees that are waived when disabled and elderly students enroll in courses for which they wish to receive credit. In addition, the suggested revisions specify that all course-specific fees are not waived.

49-7-113. Disabled and elderly persons — Auditing or enrollment. —
(a) **(1)** Disabled persons suffering from a permanent total disability that totally incapacitates the person from working at an occupation that brings the person an income, and persons who have retired from state service with thirty (30) or more years of service, regardless of age, or persons who will become sixty (60) years of age or older during the academic quarter or semester, whichever is applicable, in which such persons begin classes and, who are domiciled in Tennessee, may audit courses at any state-supported college or university without paying tuition charges, maintenance fees, student activity fees or registration fees; however, this privilege may be limited or denied by the college or university on an individual classroom basis according to space availability.

(2) This section shall not apply at medical schools, dental or pharmacy schools, and no institution of higher education shall be required to make physical alterations of its buildings or other facilities to comply with this section.

(3) Prior to admittance, the university or college involved may require an affidavit or certificate from a physician or an agency charged with compensating the disabled person or adjudicating the permanent total disability of the person who is requesting admittance to classes that the person is permanently totally disabled as set forth in subdivision (a)(1).

(4) A student who is receiving services under federal or state vocational rehabilitation programs is not eligible for a waiver of tuition and fee benefits under this section.

(b) Subject to the same terms and conditions as provided in subsection (a), disabled persons, as defined in subsection (a), and persons who will become sixty-five (65) years of age or older during the academic quarter or semester, whichever is applicable, in which such persons begin classes and, who are domiciled in this state, may be enrolled in courses for credit at state-supported colleges and universities without payment of tuition charges, maintenance fees, student activity fees or registration fees, except that the board of trustees of the University of Tennessee and the board of regents of the state university and community college system may provide for a service fee that may be charged by the institutions under their respective jurisdictions, the fee to be for the purpose of helping to defray the cost of keeping the records of such students and not to exceed forty-five dollars ($45.00) a quarter or seventy dollars ($70.00) a semester.

[Acts 1974, ch. 623, § 1; 1976, ch. 502, § 1; 1977, ch. 28, § 1; 1980, ch. 842, §§ 1, 2; T.C.A., § 49-3251; Acts 1997, ch. 360, § 1; 2002, ch. 788, § 6; 2006, ch. 913, § 1.]

Guideline B-060

a. Pursuant to TCA 49-7-113, exceptions exist for certain disabled and elderly students, as well as state service retirees. For audit courses, no fee is required for persons with a permanent, total disability, persons 60 years of age or older and domiciled in Tennessee, and persons who have retired from state service with 30 or more years of service, regardless of age. For credit, a fee of $70 per semester or $60 per trimester may be charged to persons with a permanent, total disability, and persons who will become 65 years of age or older during the academic semester in which they begin classes and who are domiciled in Tennessee. (Note: This fee includes ~~maintenance fees, student activity fees, technology access fees, and registration fees; it does not preclude an application fee, late fee, change-of-course fee, parking fee, special course fee, etc.)~~. **all mandatory fees; it does not include course-specific fees such as all miscellaneous course fees, materials fees, application fee, online course fees and parking fees.** This only applies to enrollment on a space available basis, which permits registration no earlier than four (4) weeks prior to the first day of classes.