


STATE AUTHORIZATION & REGULATORY IMPLEMENTATION: BEST PRACTICES

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INTRODUCTION: CONTEXT

- State Authorization Background
 - Responsibilities
- Achieving State Authorization at Post University
 - Application submissions
 - Processes and Procedures
- NC-SARA members vs. non NC- SARA members



TODAY'S DISCUSSION

- Best practices and tips for creating transparency and accountability at your university
- Submitted Initial Applications
 - Application Chart
- Renewals
 - Renewal Calendar
- Implementation of State Specific Requirements
 - Audit Compliance Chart
- Closing Remarks



SUBMITTED INITIAL APPLICATIONS

- Handling External Hold-Ups
 - Application Submittal Chart
 - Purpose
 - Accessibility
 - Established Relationships
- Working with Regulators, not Against
 - No fault of the regulators
 - Combating back-log
 - Creating a record

SUBMITTED INITIAL APPLICATIONS CHART

APPENDIX A STATE AUTHORIZATION CONTRACT AND INITIAL APPLICATION SCHEDULE CHART

State	Agency	Agency Contact Name	Agency Email	Agency Phone	Link to Agency	Date Application Filed	Link to Application	Status of Application	Notes
ALABAMA	ALABAMA DEPARTMENT OF REVENUE	BRADLEY FORD	BRADLEY.FORD@ALRE.TN	205-261-2000	http://www.alre.com	4/22/2015	http://www.alre.com	APPROVED	
ALABAMA	ALABAMA DEPARTMENT OF REVENUE	BRADLEY FORD	BRADLEY.FORD@ALRE.TN	205-261-2000	http://www.alre.com	4/22/2015	http://www.alre.com	APPROVED	
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SUBMITTED INITIAL APPLICATIONS CONTINUED...

- Case Study
 - Applications that have been submitted and not approved longer than expected
 - Importance of creating a record, following up and establishing relationships

SUBMITTED INITIAL APPLICATIONS



- Best Practices and Tips
 - Keeping a Record
 - Communication
 - Organization
- Importance of Working Relationships

RENEWAL APPLICATIONS


- Managing Renewal Applications
- Post University's approach to maintaining renewal applications
- Renewal Calendar
 - State
 - Renewal Date
 - Cost
 - Renewal Fee
 - Bond
 - Agent Fee
 - Application
 - Notes

RENEWAL CALENDAR

States	Type of Registration	Renewal Date	Institutional Expenses				Notes
			Annual Renewal Amount	Bond Amount	Bond Fee	Agent Fee	
Completed State Authorization Applications							
Alabama	All Programs	2015	XXXX	XXXX	XXX	XXX	Renewal will be based on AGI (if similar to 2013 around \$XXXX)
Alaska			XXXX			XXX	
Arkansas	All Programs	6/30/2014	XXXX	XXXX	XXX	XXX	Arkansas requires authorization for each new program, so as we add programs we have to seek separate authorization

RENEWAL APPLICATIONS

- Successful Tips and Best Practices
 - Deadlines
 - External vs. Internal Deadlines
 - Utilizing Microsoft Outlook
 - Stakeholder Involvement



MARYLAND CASE STUDY

- Maryland Data Reporting Requirement
 - Post University's experience with this specific renewal requirement
 - Using initial pull to set the tone for future reports
 - Leaving ample time for data collection
- Don't be afraid to question Regulators or the agency you are supplying student confidential data

SAMPLE: MARYLAND DATA REPORTING REQUIREMENT

(A) Academic Year 2012-2013	(B) College Name	(C) SSN	(D) Application Type	(E) Gender	(F) Financial Aid Application Status	(G) Fall Admission	(H) Spring Admission	(I) Family Size	(J) Dependency Status	(K) Current Status	(L) Expected Family Contribution	(M) Cost of Attendance
# A0001	# B0001	# C0001	# D0001	# E0001	# F0001	# G0001	# H0001	# I0001	# J0001	# K0001	# L0001	# M0001

MARYLAND CASE STUDY


- **Maryland Data Reporting Requirement**
 - Post University's experience with this specific renewal requirement
 - Using initial pull to set the tone for future reports
 - Leaving ample time for data collection
- **Don't be afraid to question Regulators or the agency you are supplying student confidential data**

SUMMARY RENEWAL APPLICATIONS

- **Best Practices and Tips**
 - Organization
 - Deadlines
 - Outlook /other similar tools
 - Communicating to various internal stakeholders
 - Asking questions!

IMPLEMENTATION OF STATE SPECIFIC REQUIREMENTS

- Maintaining state specific requirements and holding your University accountable
 - "DOING WHAT YOU SAY YOU WILL BE DOING"
 - Ensuring compliance of the University
- How Post University handles State Specific Requirements
 - Challenges of Implementation



STATE SPECIFIC REQUIREMENTS

- Setting up procedures or even policy requirements
- State Audit Compliance Chart
 - Benefits of Chart/Checklist
 - Compliance Chart
 - How to decide what applies to your institution
 - Organization
 - States
 - State Specific Requirements
 - Audit Date
 - Stakeholders
 - Action Taken
 - Notes/Findings

STATE SPECIFIC REQUIREMENTS

STATE	REQUIREMENTS	COMPLETED	TO BE COMPLETED	ACTION TAKEN/RESPONSIBLE	AUDIT DATE	ACTION TAKEN
Alabama	<p>21. Section 8601, Title 26, Code of Alabama, requires that the State Board of Education shall have authority to promulgate rules and regulations, subject to the approval of the Governor, for the State Board of Education. The State Board of Education shall have authority to promulgate rules and regulations for the State Board of Education, subject to the approval of the Governor, for the State Board of Education. The State Board of Education shall have authority to promulgate rules and regulations for the State Board of Education, subject to the approval of the Governor, for the State Board of Education.</p>		By October 2015 or earlier	The information should be reviewed by the State Board of Education, subject to the approval of the Governor, for the State Board of Education.		Review of each year's audit report to ensure compliance with the State Board of Education's rules and regulations.
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STATE SPECIFIC REQUIREMENTS

- How a Chart can assist your Institution in staying organized
 - Internal Audit Dates
 - Putting renewal deadlines on the spreadsheet
 - Specific Requirements and key stakeholders
 - Involving multiple people in your organization

STATE SPECIFIC REQUIREMENTS

- Best Practices and Tips
 - Identification of key stakeholders
 - Holding people accountable for ownership
 - Proper audits
 - Keeping a record
 - Communication



THANK YOU!

- Questions?
- Information:
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