Byron: Good morning everybody and welcome. We're gonna go ahead and kinda get started. I know people are gonna wander in, so I'm gonna ask for your indulgence. I tried to look up how to say welcome in all the languages that I thought were represented here. So welcome, bienvenue, bienvenidos, wilcommen, benvenuto, balcomen, balcomen, alla vasalla, baruc jaba, fogotdatash. So welcome.

[Applause]

Thank you. So before we jump into this, I wanna show you something we talked about yesterday, in the cash management session, and that was about a G5 tutorial and so you can look at this right up close on your screen if you go to the g5.gov website and under "Main," you'll see two links over here for online training or HTML. And if you go to the online training, then you would click under – this all says external users. I wonder if it's 'cause I'm – then you have to click on the little plus button – no, that's not it. Here, under "G5 Payments for External Users," there's "Payment Request," "Refund Bank Account," and "Refund Requests," and if you click on "Refunds," then it's "Create Refunds," and you would go up here. There's a choice called "See It," which I think will work, and it's gonna bring up a screen and I will t's gonna then walk you through all the steps of creating a refund. And then the HTML version is basically a static version of this, so you could look at a screen as long as you wanted and you just click the arrow key and it'll move you through all of these steps.

Now this will be set up as if you have a US bank account, but you'll be able to compare this information to the information that's in the presentation from yesterday, which was showing you screenshots if you don't have a US bank account. And you'll notice, I didn't have to logon to G5 to look at any of this, so you can do this when you get back to campus; you can have your business office do it, but if you do have read-only access, this should be fairly similar to what you would see; however, you may discover that because you have only read only access, you may not be able to do anything on some of these screens and there could be some screens that you can't access, just because you don't have real access, but this is an excellent training tool for you on how G5 works and I just wanted to show you what that looked like.

	And now, we will start into our session –
Dave:	Excuse me, sir?
Byron:	Yes?
Dave:	Could you please mention to ask people if they don't have a foreign schools ribbon, to raise their hand so I can give them out?
Byron:	Okay. If you do not yet have your foreign school's black ribbon, raise your hand, and Dave will hand that out to you. Now, your computers right now are locked. I'll unlock them in a minute, when we get into the hands-on session. It's set up for two people at a computer; but if you brought your own computer, the Internet access in here should work. You'll be able to do the hands-on session that way. We still got a few computers up front if you need and right up here. I put one workbook, kind of what were gonna walk through and hands-on session at each computer, but there are a few extras in the back on the shelf over there by the door you came in at that you can grab on your way home if you wanna get an extra.

Couple of things – when we do get into the hands-on session, if you get a message that asks you if you want to save something, just click no. If it asks you do you want to open this or that or the other thing, just click OK. So what we're gonna do is today, the FSA assessments are a tool that was originally developed by schools and the QA or for schools in the QA program and as you may know, the QA, or quality assurance, program is a program where a subset of schools that instead of doing standard verification, selected their own students for verification based on information, their research at their institutions to determine who needed to be verified and they chose the items that they would verify. And so there was a continual improvement process that was part of that program and so the FSA assessments were developed and overtime, we realized they were excellent for all schools, not just those in the QA program, and then over time, we also decided that we should tweak them so there's a version for foreign schools – and that's what we're gonna talk about today. And so were gonna kind of walk-through where they are,

how you could use them, and then give you an opportunity to look at them for the rest of the session.

So there are several different reasons you can use this; one is to assess compliance – are we doing things right. If you wanna know; let's say you got back to the office and you thought, "We need to do some things around R2T4." Using the assessments; they're Word documents that have links to the regulations in the handbook, so it's an excellent way to kind of know where's all the information about R2T4.

If I go to the assessments, I can link to every document I need to find from this one place and then we've also created an action plan, which is a Word document that's optional, but it's a way that we've kind of giving you a form you can use to track any changes that you decide you wanna make as a result of using the assessments. They can be an excellent tool if there's an audit finding at your institution; they can help you resolve that finding. It's a great tool for developing policies and procedures or if you changed institutions or were new; something like that.

So the foreign school assessments are broken into different sections and there's one section about student eligibility; then there's one about automation, which is how are you using the department software and systems; one about consumer information that will be – that's where you would find the "At a Glance" document that we talked about yesterday; one about institutional eligibility – basically keeping your PPA and your ECAR up-to-date. Then one about default prevention and management and then there are two under the fiscal management category – one about return to Title IV funds and fiscal management. And if you downloaded this presentation, you may have discovered this slide's in here twice. I'm not quite sure why, but I apologize for that.

So how do you complete an activity? Well, the forms that you'll see, you'll see on your screen, we've got some formats and this is an example of a worksheet from the SAP evaluation and most of the assessments have activities which are things that you can do to kind of implement or test what's happening at your institution. And so in this example, in the left column we have what the document would look like when you open it – and this is an activity

where you would pick a sample of students and see if they are really complying with your SAP standards.

And then Column B shows what it would look like after you use the form. Now we've got a student's name, the award year we're looking at, and here's how we're checking to see both are they complying with the qualitative standard and the quantitative standard. And so in the SAP module, there are two activities; one is when you pick a random sample of ten students and see, did the SAP policy work, and the second one is where you pick a random sample of ten people who you have identified that were not making progress – now you may not have ten students at your campus who are American, who are not making progress and that's great, but it's a way to test if the systems working the way that you intended for it to do so.

And so this, you'll notice, this is what an action plan looks like when you would open it on your screen, and were gonna walk through all of these steps together, and you'll see in the top right corner, there's "Download a Blank Action Plan." That would open a Word document that you could save to your computer, share with whomever you needed to, but this is set up so you kind of identify what's the item were gonna fix; how are we gonna do it; who needs to be involved – because often things that need to change in terms of Title IV administration don't just affect your office. Lots of other offices on campus could be involved and so here were gonna put someone in charge of this. So it's really just a tool. It's optional.

You're not required to do anything from the assessments, but it's a tool to help you follow up and going through the assessments. And then we talk about when are we gonna – is this a short-term or is this a long-term activity and then you're going to explain what you did at the end. We updated our policies and procedures and, for example, and when did that happen. Because one thing to keep in mind about your policies and procedures at your institution – they are not etched in stone tablets; they can change. They may need to change when we change the regulations but you may also make a decision, institutionally. You know, we wanna change our SAP policy 'cause we don't think this is working the way we want it to.

And so you wanna make sure you keep a record of, "We follow this policy until this date and then beginning on this date, we did something different." Again, there's not a problem with that, and again, sometimes you must make changes because we change the law or the regulations, but you just wanna keep track, then, of one you implement a new policy and procedure.

So this is kind of the steps and going through this and we're gonna walk through something as a group before we get into the hands-on session. So in this case, the scenario is the school is checking SAP once a year and for students who successfully appeal and are placed on probation under the new SAP regulations, the school allows the student to receive aid during their probation until the next time they check SAP, which is an entire year.

Now based on what you heard from Jamie yesterday, is that okay? No, it's not and so here – this is an example of what the assessment looks like and you'll see there's the two activities about a file review worksheet, but then where we come down, "See additional links," Program Integrity Questions and Answers, Satisfactory Academic Progress. How many of you are familiar with the program integrity Q&A's? Good for you David. About as many hands go up sometimes when I ask that question for American audiences, so this is something that you do wanna become familiar with. You know back in October 2010, we published a big batch of new regulations – SAP, modules, taking attendance are some of the ones that impact you.

Well, about a year ago or a year and a half, maybe, the Policy Office put together a series of questions and answers about those new regulations and so that's a link to it and will go out there; I'll demo that when we get into the, actually the hands-on session. But those questions and answers are broken into subsets. One is about R2T4; one is about satisfactory academic progress; one is about retaking coursework, so all of that applies to you. You'll get to skip the section about verification, but it's really an excellent about some of those issues that were in the new regulations. And then you'll see links to the regulations as well. And then there's a link to the action plan and I think – let's see if I can demo this here. Nope. And then this is an example of what you see on your screen. It says, "Program Integrity Link".

That's from the questions and answers and so you'll see Probation Question 2: if after one payment on probation, the student is not making SAP, can the student automatically be placed on an academic plan – or, excuse me, Answer 1, a student who fails SAP must successfully appeal to be placed on probation. Probation may not be given automatically. At the end of one payment period on probation, the student must make SAP or meet the requirements of an academic plan. So that's what tells you probation only lasts one term and then there's – we copied and pasted a section from the regulations there, which also says that probation lasts for one payment period.

So now that you've figured out at this institution that they need to make some changes, what are they gonna do? Well here's an example of what they started to put in their action plan. So they said we're going to update our policy, so that they will be, people on probation will be monitored at the end of a payment period. And then they went back and did a file review of everyone who had been placed on probation improperly for a year to determine if anybody got aid when they shouldn't have. They determined that the financial aid, the registrar, and the business office needed to be involved with this. And then who was gonna be in charge, while of course, it was you, the financial aid administrator, and this was the near-term enhancement. And then they've set up the date they were gonna start and their finish date, and then they talked about how they actually implemented this. So this is all a record you can create for your action plan. And, fortunately in this particular sample, they found out there were no problems with the students that they had left on probation longer than they should have. So doing this could prevent findings in an audit or program review like this about the SAP policy not either being properly developed and/or not being properly implemented.

So now, we are going to get into the hands-on session and what were gonna do is go over the first few steps together, as soon as I unlock your computers. Let's see – Alt-Tab. Oh. Viola. You should now be able to go out – yes?

The question is if an auditor requires a corrective action plan, can we use the section plan to submit to the department? I don't think anything would prohibit you from doing so. The corrective action plan is a little

different than this action plan. The corrective action plan is a document that gets attached to your audit and it basically says, "Dear – I can't remember the format, I haven't had to look at one for a while – but here's what were gonna do to fix these findings." You could probably copy and paste kind of the summary paragraph from this action plan into the corrective action plan, but I think you could also just say, "See the attached action plan for our corrective action plan."

So if you guys one open Internet Explorer on your computers or Firefox, it doesn't matter, at least I don't think it does. And we will show you, then, where to find – so this is the IFAP home page and I hope you're familiar with that. Oh, I'll show you right – if you wanted to go out to that Program Integrity Q&As, it's at the top right corner under Hot Topics from the IFAP home page. And so you'll see that this is the sections it's broken into. Yeah? Okay. Or IFAP.ed.gov.

But anyway, this just shows you what's out there on that program integrity webpage and if you haven't taken a look at these Q&As, I would encourage you to do so. And when you get to IFAP, you'll scroll down to Foreign Schools and on the Foreign School Information page, you'll get to a page that looks like this that shows you the foreign school assessments. And so you can see here again there's a section on Student Eligibility, Institutional Eligibility, Default Prevention, Consumer Information, Automation, Fiscal Management, and the Return to Title IV funds.

So once you get here, you wanna get out your workbook if you don't have that handy already. And so you'll see here we are in Row 2 of this document and we're gonna click on Student Eligibility. So that's right here in the students section. And if you get a notice like this, just, in this case, "Do you want to open the file?" Yes.

Now this is a protected view, but normally, on your computer, depending on what your security settings are at your university, but this is a Word document that you can save and you can use however you want to. So then it says – now we go to Line 3 in our workbook; look here for the policies and procedures template, the Satisfactory Academic Progress Policies and Procedures template, and it says <CTRL> and click to follow this link. So you'll hit

the <CTRL> key – yes, we want to continue. OK. And then here's a template for satisfactory academic progress.

And you'll notice, it starts – this is for 2010-11 and prior years. Why do we keep this old information out there? Because somebody could still be responding to an audit. So then it says to scroll down to Page 3. Well, let's try scrolling like it says to and then here, you'll see the section – here's for the current regulations for 2011-12 award year and beyond and it says, "Click on 668.34." And you'll see this takes you right out to the regulations. So see what I said about using this – again, use of these assessments is always optional, unless the team actually required it and that's a pretty rare occurrence, but you can see if you're using it, all the things you need to read about SAP are in one place, which can make this a really handy tool and it can be also very helpful in working with other offices on your campus that may not be as familiar with IFAP or the Code of Federal Regulations or the handbook. So – and I skipped, we were supposed to look at how many activities were under the activity bar.

So then it just says we can go ahead and close this link. So it tells you you can close it via File – I'm gonna close it right over here at the little box, which was not the right thing to do. See, you should follow the instructions. Now, I have to go back here. So you can close this document, the template, and we're gonna close this Word document, I hope. Why did I lose that? All righty. Let me show you – then the next step in Line 4, or nope, we already did that, Line 5, we're gonna click on the Action Plan.

And then that opens that and it says to click to download a blank action plan and that would open a Word document that looks like this. And then you could save this or fill it out or do whatever you wanted to, and then File, Close, and eventually will come back here to this page. And so the next step, Step 6 on Page 2 of your workbook is we're going to start on click on Institutional Eligibility. And this page pops up, eventually, or hopefully. And so we have a question here, "How many activities are listed under the activity bar?"

Six. You are correct. So I'm not gonna walk through the rest of this workbook; I'll walk around and help you, though, if you have questions. We're gonna take like how

much ever time you want to, really. This session's supposed to be over at, I think, 11:45. I bet will be done before then. Take some time, walk-through this, answer the questions. We skipped one on Line 2. That's my fault. Try and answer the questions. Poke around and see what these look like. Think about ways you could use them and in about 15 minutes or so, or we'll come back and go through the questions to make sure everybody got the same answer – maybe in about 20 minutes. So just go ahead and work at your own pace and follow the steps outlined in here.

I think some of you are getting pretty close to finished, so why don't we take a few minutes and kinda go over the answers that you got so far to the questions. It's okay if you haven't finished; there's still some time. So if we start on Row 7, on Page 2 of the document, it says: "Within the template, what are the two regulations listed that directly link to the policies and procedures requirements?" Anybody got an answer? 600, 20 and 21. Exactly right. Because there are some so specific things that we say you have to have written policies and procedures for. In many other areas, it's just a really good idea to do so.

So on Number 8, if your school receives more than $500,000.00 per fiscal year in Title IV funding, does your school need to submit the standard compliance audit? If so, how frequently? Yes? And how often? Annually. Right, once a year. Great.

Number 10, how many activities are listed under the activity bar? Nine. And then we get to skip to Number 14 and there's no one answer; no right or wrong answer to this. "Who in your office would be responsible for completing this monthly reconciliation worksheet?" Now why are you laughing? Nobody? That's not really an acceptable answer. It doesn't have to be this worksheet, but somebody needs to complete reconciliation. So no, nobody is not the correct answer. And it's the same on 16; "Who in your office would coordinate the information on this worksheet?" But it is important for you to know who will do this, because remember, reconciliation is kind of like it's a triangle; it's the office, it's the information in the accounting or the school or business – wherever the money is. There's the information in your office and there's the information that the department has and you want to be

able to get those all – if they don't match, you wanna be able to explain why because it could be a timing issue. So a failure to have all the same numbers isn't necessarily wrong, but you need to be able to explain any discrepancies that exist.

Number 16, "What are the four areas that you will review to test disbursement requirements?" What did you guys come up with? Cost of attendance. Any other ideas? General disbursement requirements. What else? Enrollment. I wrote down direct loan pre-disbursement requirements and then I wrote down federal direct loan disbursement requirements.

Number 17, "How many activities are listed under the activity bar?" How many? Two? Well I'm wrong. I wrote down one. I'll take your word for it. "The administrative capability requirements are outlined in what regulation?" Who found that? You did; I know that. What is it? Right. 668.16; there's a big long section and the regulations called Administrative Capability and that's all the things that you say you're gonna do. How about number 19? "How many activities are listed under the activity bar?" Two and Number 20, "What two regulations are listed that directly link to the policies and procedures requirements?" Anybody get this? 668.22 and anything else? Right. 685.306. So 668 is general and 685 is specific to direct loans. Number 21. "How many activities are listed under the activity bar?" Three. And finally, Number 22, excuse me, "What are three additional resources listed at the end of this activity to help you with your default management plan?" Anybody got anything here? Sample Default Management Plan. What else? Right. Default Prevention Resource Information, and finally, National Handbook of Best Practices. Maybe we could make that the international handbook? You guys could start offering some ideas.

So, you have any questions about the assessments or about anything else we've talked about today? Well we've got this room for another 15 minutes. If you wanna stick around and continue looking through things, I'll stick around at least that long to help you answer any questions. If you don't; that's okay. I know you might wanna go get some lunch before your next session. This is my final time presenting for you folks this conference, so I just wanna say thank you very much. It's always a pleasure. I really

enjoy working with you; really glad you are here and I will join you to listen to what is said at the Policy Q&A this afternoon. So have a great afternoon. Thanks everybody.

[Applause]