

Monitoring Compliance through an Operational Review

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SOUTHERN NEW HAMPSHIRE UNIVERSITY



7 Most expensive words in business

“We have always done it that way.”

- Catherine Devrye

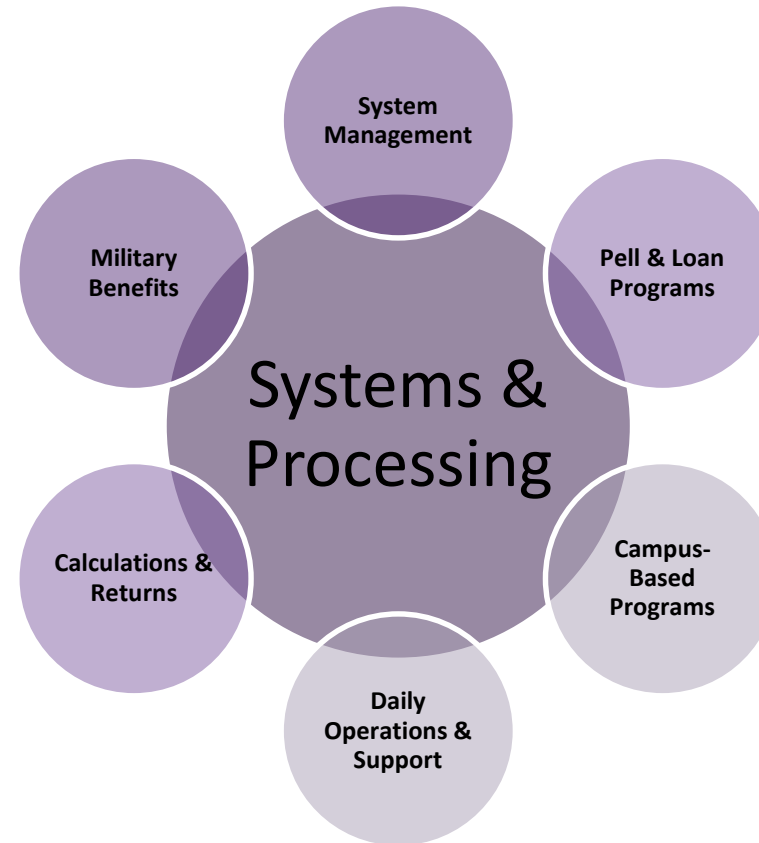
Essential six elements

- Who – define the organization/partner/and population to be served
- What – describe succinctly what will be done
- When – define the project timeline/length and the hours/times for activities
- Where – define the target areas of assessment
- Why – define the rationale behind it
- How – define the details of implementation

Who: Define the organization

Review of Financial Aid Systems and Processing Operations

1. System Management
2. Pell and Loan Programs
3. Campus-Based Programs
4. Daily Operations and Support
5. Calculations and Returns
6. Military Benefits



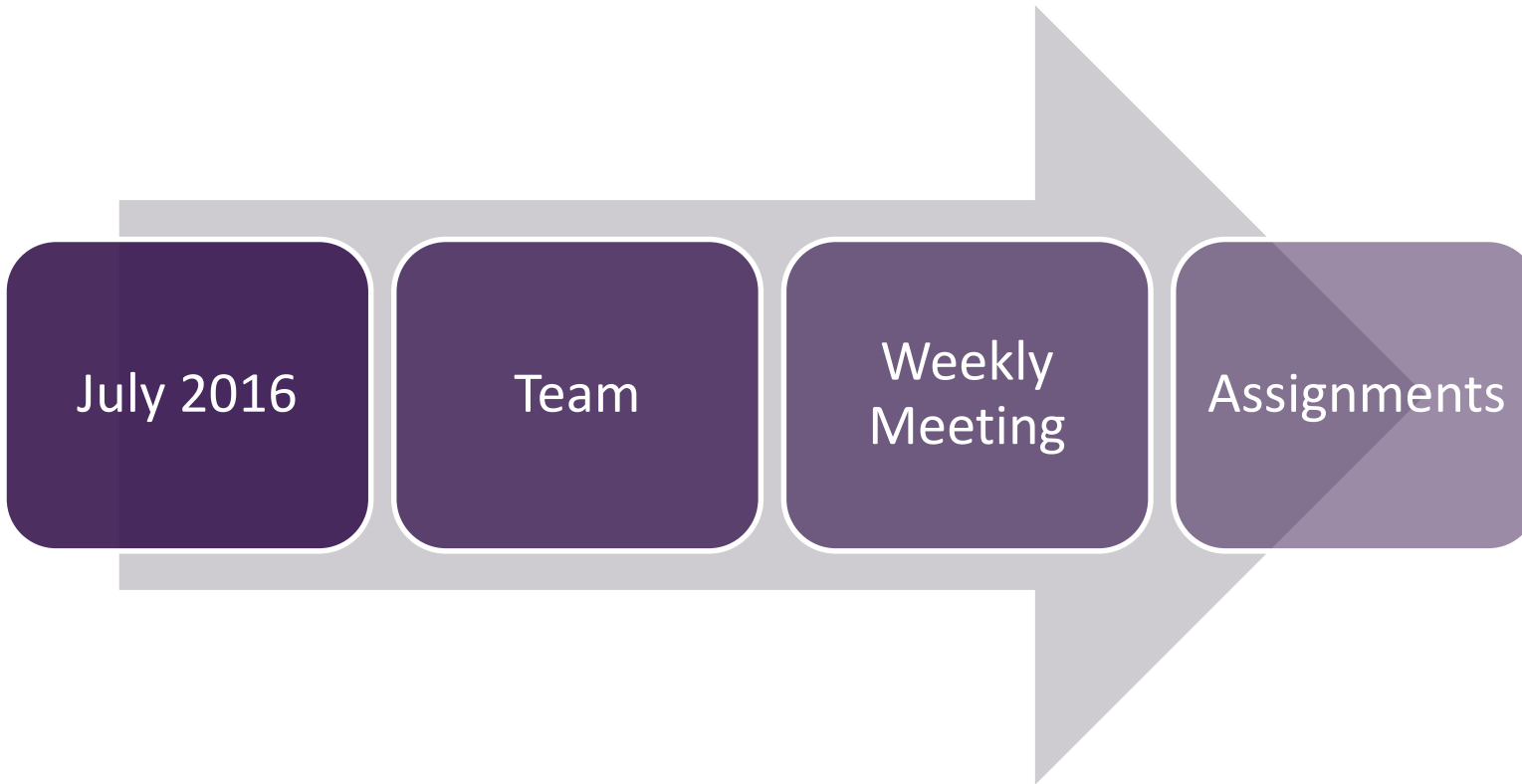
What: Describe what will be done

An operational review is an in-depth and objective review of an organization or a specific segment of the organization.

A comprehensive assessment of:

- Current systems
- Operations
- Processes
- Strategies
- Teams
- Communication

When: Define project timeline/activities



Where: Target areas of assessment

- Daily operations of each team
- Weekly/monthly procedures of each team
- Connected team operations
- Every process that involves the SIS

Why: Define the rationale



Improve the Student Experience

Why: Administrative capability

To begin and to continue to participate in any Title IV, HEA program, an institution shall demonstrate to the Secretary that the institution is capable of adequately administering that program under each of the standards established in this section. The Secretary considers an institution to have that administrative capability if the institution—

- a) Administers the Title IV, HEA programs in accordance with all statutory provisions of or applicable to Title IV of the HEA, all applicable regulatory provisions prescribed under that statutory authority, and all applicable special arrangements, agreements, and limitations entered into under the authority of statutes applicable to Title IV of the HEA;

Monitoring Compliance and Evaluating Program Administration

Proper management of financial aid programs and a continuous process for evaluating a school's operations are critical to a school's continued participation in the federal student aid programs.

Evaluations are used to monitor compliance and ensure that a school continues to be administratively capable. Evaluations can be informal or formal.



Informal Review

Informal self-evaluation should be an on-going activity in any organizational unit. This activity is intended to catch small problems as they occur.

Formal Review

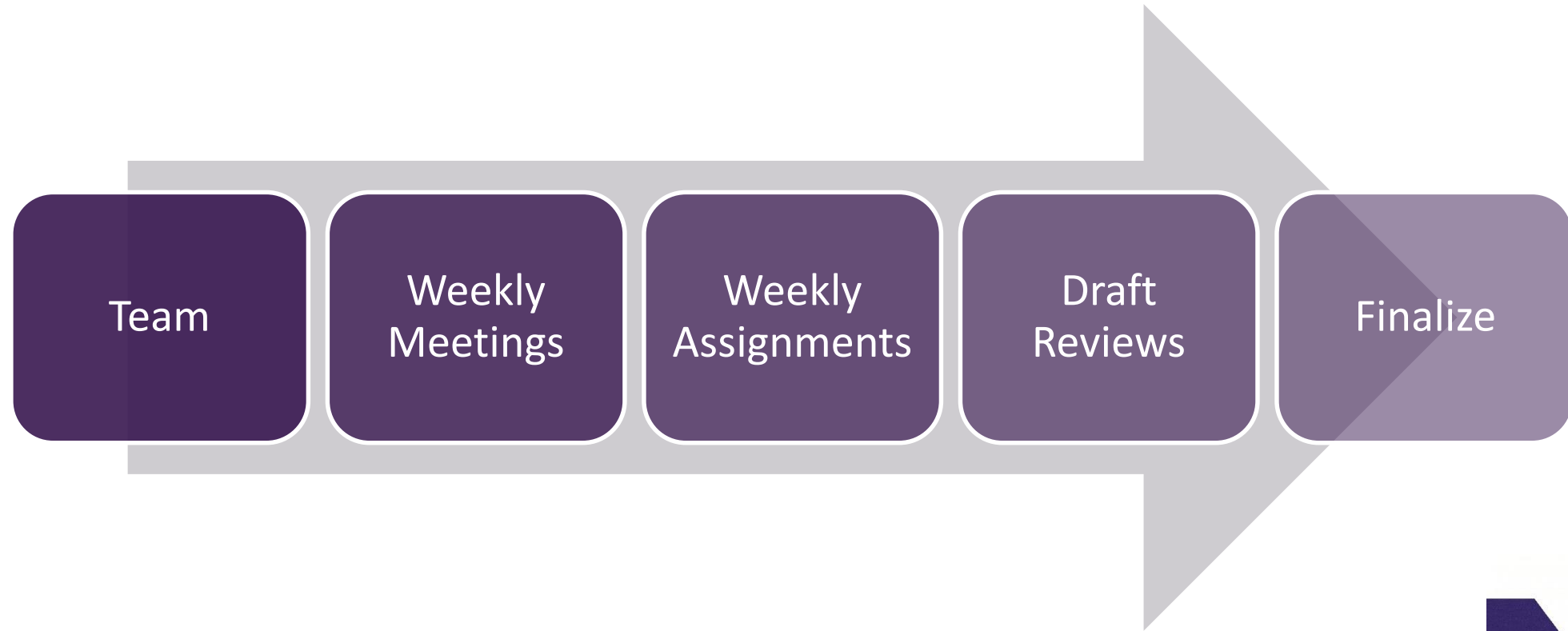
A formal self evaluation is designed to review all aspects of the financial aid operation thoroughly. It is designed to catch systemic problems that may be missed during an informal review.



Why: Define the rationale

- Documentation - to demonstrate and explain compliance
- Procedural flows– living documents that confirm compliance and can improve efficiency
- Consistent practice – standardize operations with controls
- Centralized repository – one version of the truth
- Team unity – build relationships
- Insight – team structures, working relationships, collective knowledge, collaborative efforts

How: Details of implementation



Documentation

DEMONSTRATE AND EXPLAIN COMPLIANCE



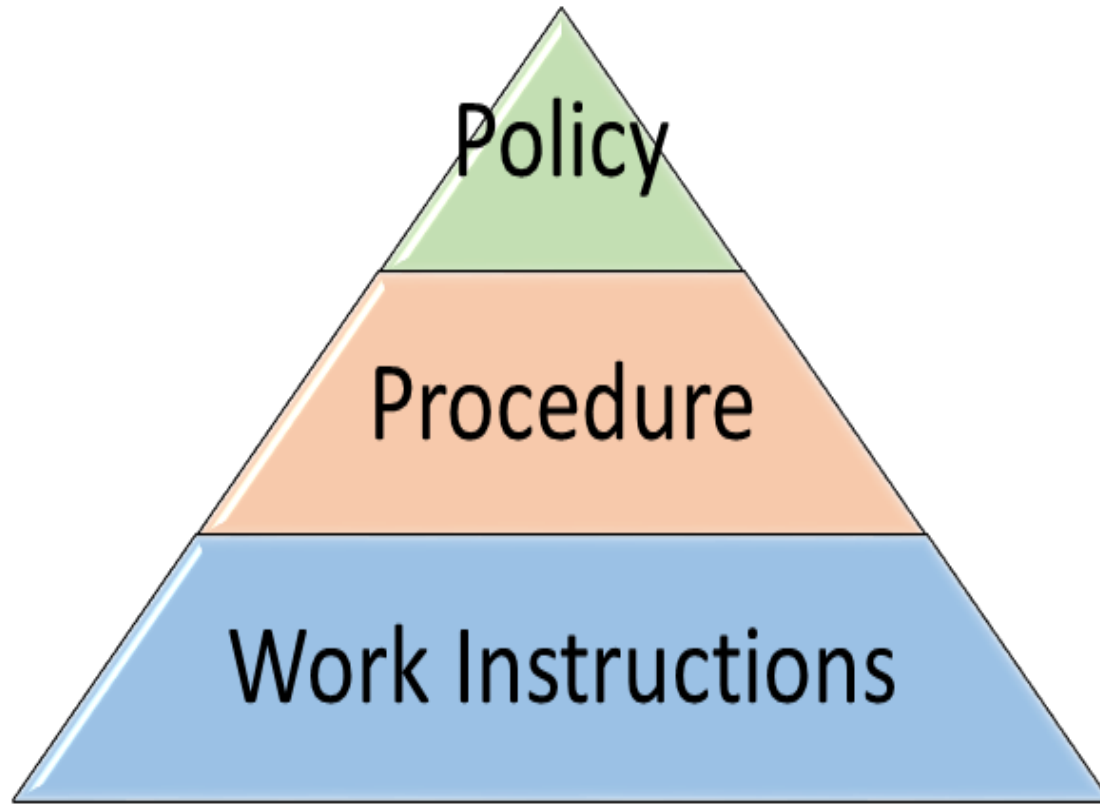
FSA Handbook



The Department strongly recommends that participating schools create policies and procedures manuals that cover the entirety of the school's participation in the FSA programs. We believe that an all-inclusive policies and procedures manual is critical to establishing internal controls and ensuring effective and efficient operation of a schools FSA programs.

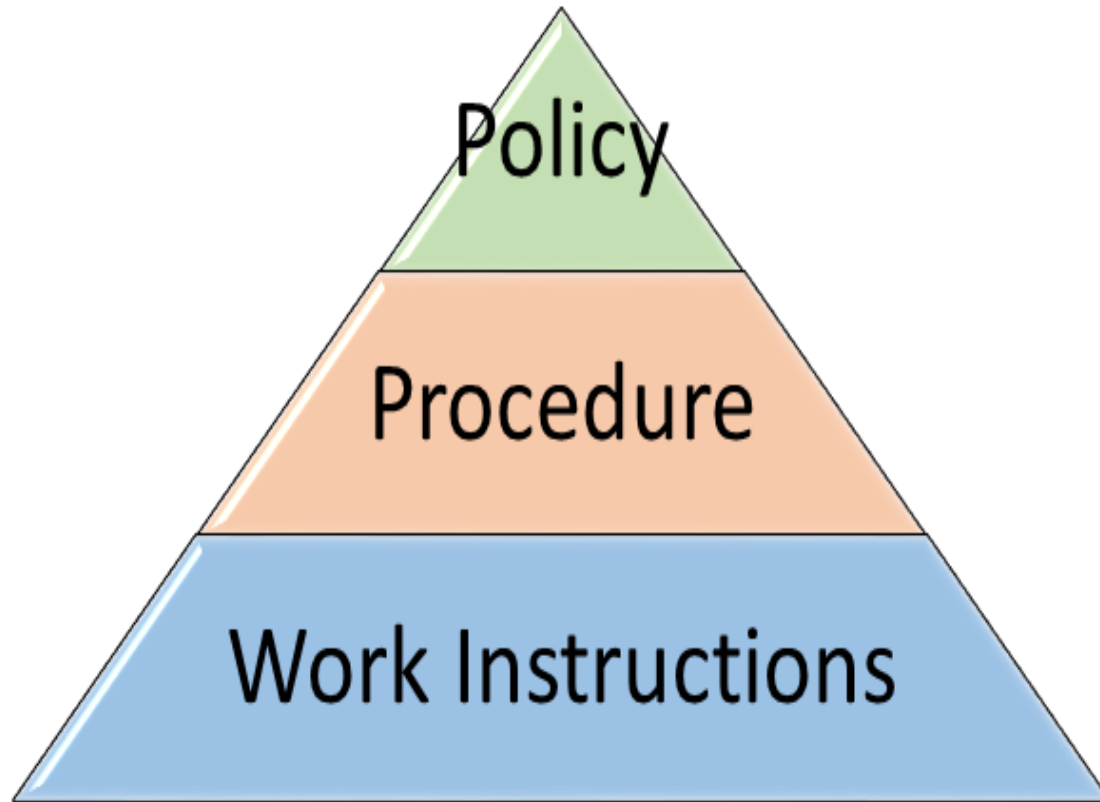
We encourage those individuals responsible for participating in schools' business operations to join with their colleagues in financial aid in creating a comprehensive FSA policies and procedures manual for their schools.

Policy



A **policy** is used as a course of action to guide and influence decisions. For financial aid and VA, our policies are the regulations.

Procedure

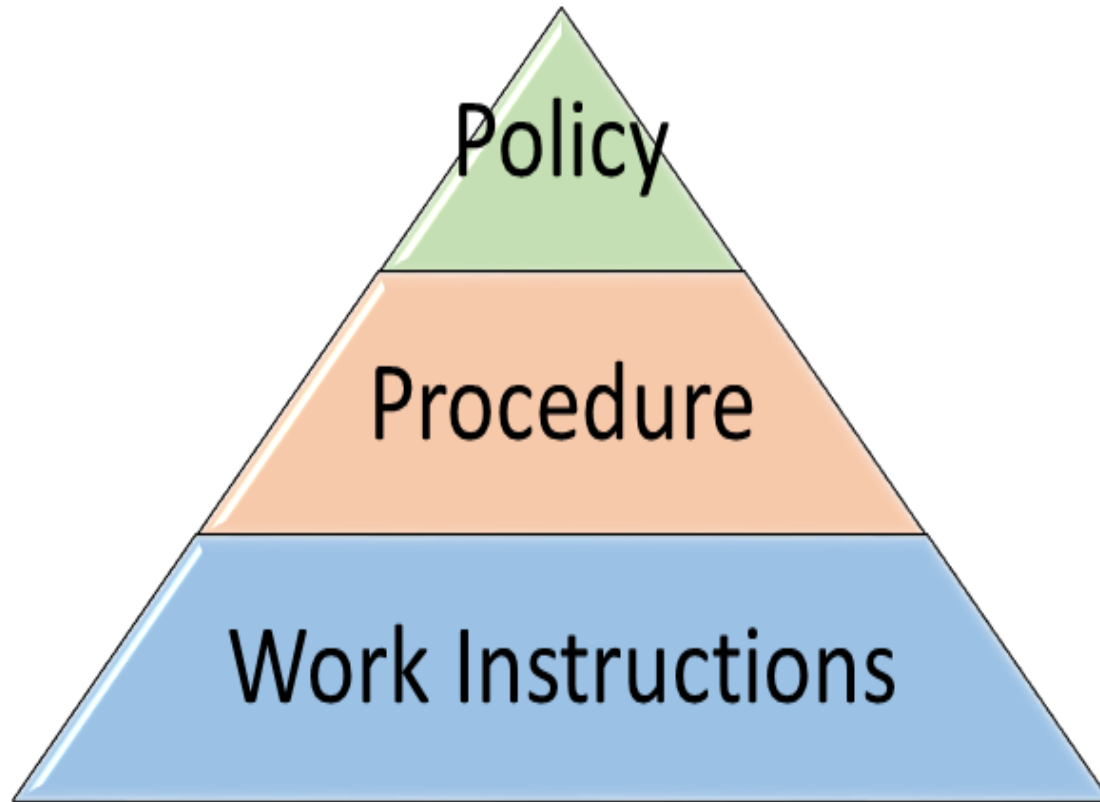


A **procedure** is a second level of documentation which describes who does what and when in sequence. We call it Process.



Microsoft Word
Document

Work Instruction



Work instructions should be very detailed on 'how' to accomplish a specific job, task or assignment.



Microsoft Word
Document

Operational Standards

Operational standards are prescribed procedures that increase the reliability of financial aid processing. Standards are defined by aligning the knowledge of the FA Systems and Processing/SFS team with current provisions, regulations and best practice to delineate responsibilities and accountability.



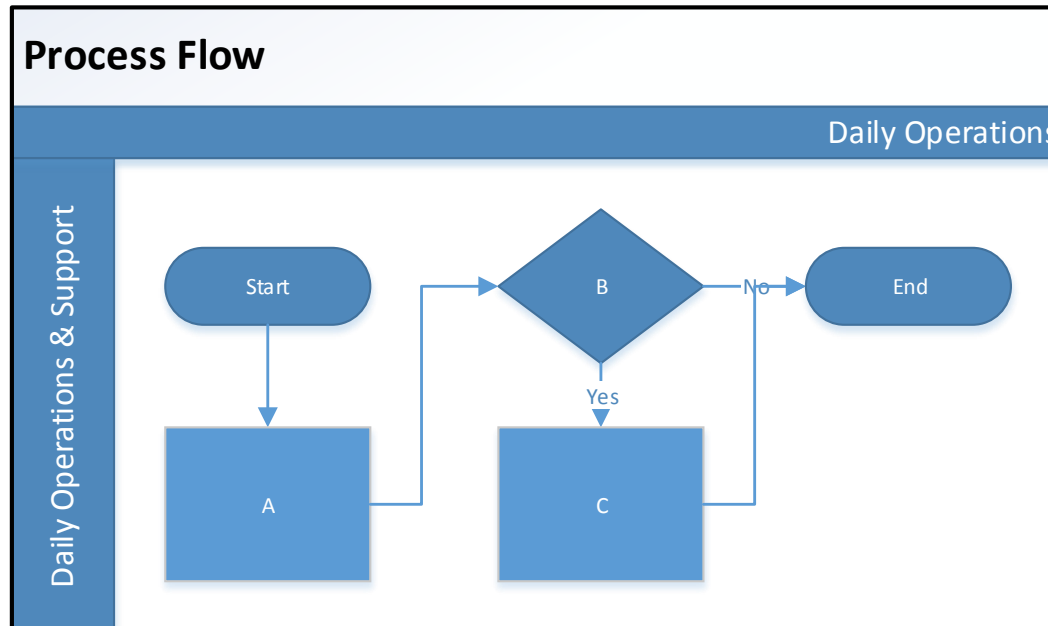
Microsoft Word
Document

Procedural Flows

LIVING DOCUMENTS TO CONFIRM COMPLIANCE AND IMPROVE EFFICIENCY



Procedural Flow



A **procedural flow** is the visual display of the steps involved in a business process from start to finish. This flow outlines a concise picture of the sequences of tasks needed to complete a service from genesis to completion.



Microsoft Visio
Drawing

Benefits of Procedural Flows

- Visual representation
- Breakdown of responsibility (swim lanes)
- Identify manual and automated process steps
- Demonstrate connections to the big picture
- Pinpoint bottlenecks in process
- Standardize terminology from internal lingo to external recognition

The Procedural Flow Cycle



Centralized Repository

ONE VERSION OF THE TRUTH



SharePoint

The screenshot shows a SharePoint site titled "Financial Aid Systems & Processing". The left sidebar includes "SFS Site", "Libraries" (All Team Documents, Activity & Progress), "Calendar", "Recycle Bin", and "All Site Content". A large purple arrow points from the left towards the main content area. The main content area features a header with the "snhu STUDENT FINANCIAL SERVICES" logo and a mission statement. Below the mission statement are seven navigation buttons: "System Management", "Military Benefits", "Pell & Loan Programs", "Campus-Based Programs", "Calculations & Returns", "Daily Operations & Support", and "Team Resources". To the right, under "Activity & Progress:", there is a list of links: "FSEOG Monthly Tracker", "FWS Monthly Tracker", "Discretionary Fund Monthly Tracker", "CS Gold Reports", "Monthly Team Metrics", and "Academic Year Transition". Below this is a calendar for June 2017 with event details for various days.

Systems and Processing » Home

SFS Site

Libraries
All Team Documents
Activity & Progress

Calendar

Recycle Bin
All Site Content

Financial Aid Systems & Processing

We are dedicated to student success through service that incorporates the University's core values of exuding passion, challenging the status quo, doing the right thing, exhibiting grit and embracing diversity. Our vision is directly aligned with the University's Mission Statement: Southern New Hampshire University transforms the lives of students. Our success is defined by our students' success. By relentlessly challenging the status quo and providing the best support in higher education, Southern New Hampshire University expands access to education by creating high quality, affordable and innovative pathways to meet the unique needs of each and every student.

System Management **Military Benefits**

Pell & Loan Programs **Campus-Based Programs**

Calculations & Returns **Daily Operations & Support**

Team Resources

Activity & Progress:

- FSEOG Monthly Tracker
- FWS Monthly Tracker
- Discretionary Fund Monthly Tracker
- CS Gold Reports
- Monthly Team Metrics
- Academic Year Transition

June, 2017

Sunday	Monday	Tuesday	Wednesday	Thursday	Friday
28	29	30	31	1	2
	3:00 pm - 4:00 pm Manager Meeting	9:00 am Pell & Loan 9:00 am System M 2:00 pm Campus-B ↓ 1 more item	TEST Refresh 10:00 am - 11:00 a Daily Operations &		2:00 pm - Military B
4	5	6	7	8	9
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11	12	13	14	15	16

SharePoint

Processing > All Team Documents > Pell & Loan Programs >

<input type="checkbox"/>	Type	Name↑	Modified	<input type="checkbox"/>	Modified By	Document Type	Team
<input type="checkbox"/>		COLLEAGUE-Notification of System Disruption	5/16/2017 8:51 AM	<input checked="" type="checkbox"/>	Piotrowski, Kevin	Procedures	System Management, Pell & Loan Programs, Daily Operations & Support, Military Benefits, Calculations & Returns, Campus-Based Programs
<input type="checkbox"/>		Deceased Student	11/9/2016 8:33 PM	<input checked="" type="checkbox"/>	Piotrowski, Kevin	Procedures	Pell & Loan Programs, Daily Operations & Support, Calculations & Returns
<input type="checkbox"/>		Direct Loan Processing	12/12/2016 2:16 PM	<input checked="" type="checkbox"/>	Piotrowski, Kevin	Operational Standards	Pell & Loan Programs
<input type="checkbox"/>		Direct Loan Reconciliation	12/12/2016 2:16 PM	<input checked="" type="checkbox"/>	Piotrowski, Kevin	Operational Standards	Pell & Loan Programs

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System Management

Military Benefits

Pell & Loan Programs

Campus-Based Programs

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Insight

WHAT TO SEE



Compliance

- Calculations & Returns
- Campus-Based Programs
- Pell & Loan Programs
- Daily Operations & Support
- System Management
- Military Benefits

Procedures

- Automated vs. Manual
- Obstacles
- Bottlenecks
- Connections
- Variations
- Missing steps

Teams

- Relationships
- Unity
- Collaboration
- Collective knowledge
- Structure
- Organization of responsibilities
- Cross training
- Management

Questions?

WHAT DO YOU WANT TO KNOW

