Federal Compliance Worksheet for Evaluation Teams

**Evaluation of Federal Compliance Components**

This worksheet is to be completed by a Federal Compliance reviewer or by the peer review team that conduct the on-site visit. If a Federal Compliance reviewer completes the form, the reviewer will evaluate the materials in advance of the visit and refer any issues to the team for further exploration and confirmation. The team chair will confirm that the team has reviewed the Federal Compliance reviewer’s findings, make any necessary adjustments to the worksheet following the on-site visit, and submit the worksheet as part of the team’s final report.

The Federal Compliance reviewer or the team should review each item identified in the Federal Compliance Filing by Institutions (FCFI) and document their findings in the appropriate spaces below. Peer reviewers are expected to supply a rationale for each section of the Federal Compliance Evaluation. Refer to the Federal Compliance Overview for information about applicable HLC policies and explanations of each requirement.

Generally, if the team finds in the course of this review that there are substantive issues related to the institution’s ability to fulfill the Criteria for Accreditation, such issues should be raised in the appropriate parts of the team report. If the team recommends monitoring on a Federal Compliance Requirement in the form of a report or focused visit, the recommendation should be included in the Federal Compliance monitoring sections below and added to the appropriate section of the team report.

**Submission Instructions**

**Federal Compliance reviewer:** Upload this worksheet and the Team Worksheet for Evaluating an Institution’s Assignment of Credit Hours and Clock Hours to the related review page in the HLC Portal.

**Team chair:** Send the draft of this worksheet and the Team Worksheet for Evaluating an Institution’s Assignment of Credit Hours and Clock Hours to the institution’s HLC staff liaison at the same time the draft team report is submitted for liaison review. Submit the final worksheet to HLC at finalreport@hlcommission.org.

Institution under review: University of Minnesota, Duluth

Please indicate who completed this worksheet:

- ☒ Evaluation team
- ☒ Federal Compliance reviewer
To be completed by the evaluation team chair if a Federal Compliance reviewer conducted this part of the evaluation:

Name: Tammy Jahnke

☒ I confirm that the evaluation team reviewed the findings provided in this worksheet.

Assignment of Credits, Program Length and Tuition
(See FCFI Questions 1–3 and Appendix A)

1. Complete the Team Worksheet for Evaluating an Institution’s Assignment of Credit Hours and Clock Hours. Submit the completed worksheet with this form.

   - Identify the institution’s principal degree levels and the number of credit hours for degrees at each level (see the institution’s Appendix A if necessary). The following minimum number of credit hours should apply at a semester institution:
     - Associate’s degrees = 60 hours
     - Bachelor’s degrees = 120 hours
     - Master’s or other degrees beyond the bachelor’s = At least 30 hours beyond the bachelor’s degree

   - Note that 1 quarter hour = 0.67 semester hour.

   - Any exceptions to this requirement must be explained and justified.

   - Review any differences in tuition reported for different programs and the rationale provided for such differences.

2. Check the response that reflects the evaluation team or Federal Compliance reviewer’s conclusions after reviewing this component of Federal Compliance:

   ☒ The institution meets HLC’s requirements.
   ☐ The institution meets HLC’s requirements, but additional monitoring is recommended.
   ☐ The institution does not meet HLC’s requirements and additional monitoring is recommended.
   ☐ The Federal Compliance reviewer/evaluation team also has comments that relate to the institution’s compliance with the Criteria for Accreditation. See Criterion (insert appropriate reference).

Rationale:

Tuition differs for in-state and out-of-state students, and differs for Undergrad vs Grad programs. Students from nearby states are awarded in-state tuition or 105% of in-state tuition. Graduate programs costs are differentiated by research-based or professionally focused programs. All fees are clearly listed and applied fairly to each student population. Tuition rates are reviewed annually and proposed rate changes require approval of Minn State Board of Regents.
The institution meets standards as required for Federal Compliance.

The Federal Compliance filing documents that the institutions requirements for undergraduate, master degree and doctoral degree credits are within federal requirements and location of documents reviewed are given below.

The Undergraduate Degree Requirements policy is available online at [http://www.d.umn.edu/academic-affairs/academic-policies/enrollment-transfer-policies/undergraduate-degreerequirements](http://www.d.umn.edu/academic-affairs/academic-policies/enrollment-transfer-policies/undergraduate-degreerequirements)

Programs with a distinctive student population or approved joint-degree programs may request a program-wide exception to the time limit. University policy pertaining to master’s degree performance and progress is available online at [https://policy.umn.edu/education/mastersperformance](https://policy.umn.edu/education/mastersperformance).

Programs with a distinctive student population or approved joint-degree programs may request a program-wide exception to the time limit. University policy pertaining to performance and progress for doctoral programs is available online at [https://policy.umn.edu/education/doctoralperformance](https://policy.umn.edu/education/doctoralperformance).

The Credit Requirement Policy for Master’s and Doctoral Degrees is available online at [https://policy.umn.edu/education/maphddegreereq](https://policy.umn.edu/education/maphddegreereq). A listing of all graduate-degree programs is provided in Appendix A.

University policy pertaining to performance, progress, and credit requirements for post-baccalaureate certificate programs is available online at [https://policy.umn.edu/education/postbacdegrees](https://policy.umn.edu/education/postbacdegrees).

### Institutional Records of Student Complaints
(See FCFI Questions 4–7 and Appendixes B and C)

1. Verify that the institution has documented a process for addressing student complaints and appears to by systematically processing such complaints, as evidenced by the data on student complaints since the last comprehensive evaluation.
   - Review the process that the institution uses to manage complaints, its complaints policy and procedure, and the history of complaints received and resolved since the last comprehensive evaluation by HLC.
   - Determine whether the institution has a process to review and resolve complaints in a timely manner.
   - Verify that the evidence shows that the institution can, and does, follow this process and that it is able to integrate any relevant findings from this process into improvements in services or in teaching and learning.
   - Advise the institution of any improvements that might be appropriate.
• Consider whether the record of student complaints indicates any pattern of complaints or otherwise raises concerns about the institution’s compliance with the Criteria for Accreditation or Assumed Practices.

2. Check the response that reflects the team’s conclusions after reviewing this component of Federal Compliance:

☒ The institution meets HLC’s requirements.
☐ The institution meets HLC’s requirements, but additional monitoring is recommended.
☐ The institution does not meet HLC’s requirements and additional monitoring is recommended.
☐ The Federal Compliance reviewer/evaluation team also has comments that relate to the institution’s compliance with the Criteria for Accreditation. See Criterion (insert appropriate reference).

Rationale:

The institution provided documentation that student complaints are taken seriously and are dealt with according to a published policy and with extensive outreach and support to students. The Chancellor and Vice Chancellors meet quarterly to review the student academic complaints and follow up according to the published policy. All reports are logged and tracked. Records are kept and analyzed as part of a continuous improvement effort.

The Student Complaints and Grievances website, https://onestop.d.umn.edu/terms-and-conditions/studentcomplaints-and-grievances, provides clear guidance to students on how to proceed with complaints and grievances. While an individual communication, e.g. email, appointment, etc., is often the route students take in voicing a complaint, beginning in January 2017 students also have the option to file a formal campus-level complaint using the online Google form available on the Student Complaints and Grievances website (the student form is provided in Appendix B). Links to the website are easily accessible to students from the Current Student webpage (under “RELATED LINKS”), http://d.umn.edu/current-students, the bottom of every UMD One Stop Student Services webpage (through “Terms and Conditions”), https://onestop.d.umn.edu/terms-and-conditions/student-complaints-and-grievances, and the Student Life webpage (under “RELATED LINKS”), http://www.d.umn.edu/student-life. The policy is also provided in Appendix B.

Appendix C provided an accounting of student complaints and resolution, shown below.
Complaints received by UMD colleges and departments are also reviewed as they are received; no formal tracking is required by institutional policy. Examples of several student complaint and resolution issues included the university-wide excused absence policy, parking tickets, and housing which were several key issues raised by students. Students also asked for increased overnight use of the student computer labs, and improved billing for international study abroad programs. Students in higher level math coursework also complained about the way that the subject was taught and student progress was assessed. Changes were made to improve student learning and outcomes. In January 2018, the Chancellors review group discussed student concerns regarding clarity of course policies and procedures, the assignment of freshmen students living on campus in apartments instead of residence halls as requested, and the student complaint tracking process. Based on the discussion, the EVCAA was to work with department heads to help encourage faculty to communicate course policies and procedures in syllabi; the Vice Chancellor of Student Life affirmed with the Housing and Residence Life director the need for more residence hall space as plans for new housing facilities are created; and Student Life staff entering data into the complaint tracking log were requested to provide more detailed information. Many additional issues were provided in this section of the Federal Compliance Review, on page 10.

Additional monitoring, if any:

<table>
<thead>
<tr>
<th>Complaint Type</th>
<th>Frequency</th>
<th>Resolutions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Academics</td>
<td>7</td>
<td>• Appropriate office responded with additional information (5)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Mutually satisfactory solution was agreed upon with student (3)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Policy clarification was provided (1)</td>
</tr>
<tr>
<td>Admissions</td>
<td>1</td>
<td>• Appropriate office responded with additional information</td>
</tr>
<tr>
<td>Campus Climate</td>
<td>2</td>
<td>• Appropriate office responded with additional information (1)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Policy clarification was provided (1)</td>
</tr>
<tr>
<td>Financial Aid</td>
<td>4</td>
<td>• Student was provided additional assistance by One Stop Student Services (2)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Appropriate office responded with additional information (2)</td>
</tr>
<tr>
<td>Health and Safety</td>
<td>1</td>
<td>• Appropriate office responded with additional information</td>
</tr>
<tr>
<td>Housing</td>
<td>1</td>
<td>• Additional student services were added for students</td>
</tr>
<tr>
<td>Parking</td>
<td>2</td>
<td>• Mutually satisfactory solution was agreed upon with student (1)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Appropriate office responded with additional information (1)</td>
</tr>
<tr>
<td>Student Organization</td>
<td>2</td>
<td>• Additional information and policy clarification were provided (2)</td>
</tr>
</tbody>
</table>
Publication of Transfer Policies
(See FCFI Questions 8–10 and Appendixes D–F)

1. Verify that the institution has demonstrated it is appropriately disclosing its transfer policies to students and to the public. Policies should contain information about the criteria the institution uses to make transfer decisions.
   - Review the institution’s transfer policies.
   - Review any articulation agreements the institution has in place, including articulation agreements at the institution level and for specific programs and how the institution publicly discloses information about those articulation agreements.
   - Consider where the institution discloses these policies (e.g., in its catalog, on its website) and how easily current and prospective students can access that information.
   - Determine whether the disclosed information clearly explains any articulation arrangements the institution has with other institutions. The information the institution provides to students should explain any program-specific articulation agreements in place and should clearly identify program-specific articulation agreements as such. Also, the information the institution provides should include whether the articulation agreement anticipates that the institution (1) accepts credits from the other institution(s) in the articulation agreement; (2) sends credits to the other institution(s) in the articulation agreements; (3) both offers and accepts credits with the institution(s) in the articulation agreement; and (4) what specific credits articulate through the agreement (e.g., general education only; pre-professional nursing courses only; etc.). Note that the institution need not make public the entire articulation agreement, but it needs to make public to students relevant information about these agreements so that they can better plan their education.
   - Verify that the institution has an appropriate process to align the disclosed transfer policies with the criteria and procedures used by the institution in making transfer decisions.

2. Check the response that reflects the team’s conclusions after reviewing this component of Federal Compliance:
   - The institution meets HLC’s requirements.
   - The institution meets HLC’s requirements, but additional monitoring is recommended.
   - The institution does not meet HLC’s requirements and additional monitoring is recommended.
   - The Federal Compliance reviewer/evaluation team also has comments that relate to the institution’s compliance with the Criteria for Accreditation. See Criterion (insert appropriate reference).

Rationale:

The Transfer of Undergraduate Credit policy is published on the Academic Affairs website. Course transferability strictly adheres to UMD and University of Minnesota System transfer policies. The
Audience: Peer Reviewers  
Process: Federal Compliance Review  

Faculty and the AVC for Undergraduate Education make all transfer decisions. Transfer decisions are entered into the course management system (Degree Audit Reporting System or DARS), the automated degree audit system (Academic Progress Audit System or APAS) applies transfer decisions to student records and updates student degree progress reports. Students can view their transfer credit through their MyU student portal account and through their APAS degree audit. The AVC for Undergraduate Education guides and directs the Office of the Registrar, which is the process owner for recording and storing faculty decisions and updating student academic records in accordance with UMD transfer credit policies. Registrar staff and the AVC meet regularly to discuss application of policy, specific transfer decisions, and implications of proposed agreements. [http://d.umn.edu/academic-affairs/academic-policies/enrollment-transfer-policies/transfer-undergraduate-credit](http://d.umn.edu/academic-affairs/academic-policies/enrollment-transfer-policies/transfer-undergraduate-credit). A link to this policy is provided with transfer credit information with links to additional transfer policies on the One Stop Student Services website, [https://onestop.d.umn.edu/academics/transfer-credit](https://onestop.d.umn.edu/academics/transfer-credit).

UMD undergraduate transfer admission policies are described on the Undergraduate Admissions website, [http://www.d.umn.edu/undergraduate-admissions/apply/transfer-students/requirements-transfer along with links to high school preparation requirements and the Minnesota Transfer Curriculum](http://www.d.umn.edu/undergraduate-admissions/apply/transfer-students/requirements-transfer). A transfer checklist for newly admitted transfer students is also available on the Undergraduate Admissions website, [http://www.d.umn.edu/admissions/undergraduate-admissions/apply/transfer-students/transfer-ready](http://www.d.umn.edu/admissions/undergraduate-admissions/apply/transfer-students/transfer-ready).

The University of Minnesota and the Minnesota State system developed the Minnesota Transfer Curriculum (MnTC) to simplify transfer processes across Minnesota institutions; this policy is listed on the One Stop Student Services Transfer Credit webpage as well as within the UMD Catalog website with a link to the program, [http://www.mntransfer.org/students/plan/s_mntc.php](http://www.mntransfer.org/students/plan/s_mntc.php). Other UMD programs are to follow the [Articulation Agreements](http://www.d.umn.edu/vcaa/ArticulationAgreements.html) policy when developing such agreements with other institutions, [http://www.d.umn.edu/vcaa/ArticulationAgreements.html](http://www.d.umn.edu/vcaa/ArticulationAgreements.html).

Policies also exist regarding exams and prior learning for course credit.

In addition the student handbook and the online catalog provide information on transfer and graduate school requirements online. The policy regarding the UMD Catalog year a transfer student may follow is addressed on the UMD Catalog homepage, [http://d.umn.edu/catalog](http://d.umn.edu/catalog).

The [Application of Graduate Credits to Degree Requirements](http://policy.umn.edu/education/gradcreditdegree) policy is published on the University of Minnesota website, [https://policy.umn.edu/education/gradcreditdegree](https://policy.umn.edu/education/gradcreditdegree). A summary of the policy is also included within the Graduate Student Handbook, [http://www.d.umn.edu/graduate-school/current-students/gradstudent-handbook](http://www.d.umn.edu/graduate-school/current-students/gradstudent-handbook). Additional monitoring, if any:

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**Practices for Verification of Student Identity**  
(See FCFI Questions 11–16 and Appendix G)  

1. Confirm that the institution verifies the identity of students who participate in courses or programs provided through distance or correspondence education. Confirm that it appropriately discloses additional fees related to verification to students, and that the method of verification makes reasonable efforts to protect students’ privacy.
• Determine how the institution verifies that the student who enrolls in a course is the same
  student who submits assignments, takes exams and earns a final grade. The team should
  ensure that the institution’s approach respects student privacy.

• Check that any costs related to verification (e.g., fees associated with test proctoring) and
  charged directly to students are explained to the students prior to enrollment in distance or
  correspondence courses.

2. Check the response that reflects the team’s conclusions after reviewing this component of
   Federal Compliance:

   ☑ The institution meets HLC’s requirements.

   □ The institution meets HLC’s requirements, but additional monitoring is recommended.

   □ The institution does not meet HLC’s requirements and additional monitoring is
     recommended.

   □ The Federal Compliance reviewer/evaluation team also has comments that relate to the
     institution’s compliance with the Criteria for Accreditation. See Criterion (insert appropriate
     reference).

Rationale:

University of Minnesota verification methods are based upon the minimum identifying information of
name and birthdate to establish an official record in the student information system. As students
interact with the University of Minnesota their record grows more robust and, at various points
throughout their activity cycle with the University, those base data points are strengthened with
additional information such as address, social security number (if a financial aid recipient, become a
student-employee, or participate in the 1098T tax benefit), and UCard photo. Subsequent student
record-related processes, e.g. filing of the Free Application for Federal Student Aid
(FAFSA), orientation/academic advising, and disability services, also serve as components for
verifying the identification of students. Once a student record is created and identifying information is
stored in the student database, the University of Minnesota Office of Information Technology (OIT)
receives that information as a direct data feed and establishes the IT account for the student via the
University of Minnesota system-wide identity management system. Students must claim their IT
account by providing specific personal data and setting a private password prior to enrolling in courses.

UMD offers “completely online” courses that are identified in the schedule of classes to officially
communicate the mode of instruction. In order for students to access their university accounts and
services, including the registration system, they must use the University-assigned username and
password created and maintained by the student. Students are identified at the time of their registration
as participating in classes offered online. Correspondence courses are not offered.

UMD discloses any and all additional costs for participating in courses via distance support
technologies on the One Stop Student Services website at https://onestop.d.umn.edu/finances/fees
(“Historical fee rates” listings) and provides a full list of courses with fees at
https://onestop.d.umn.edu/finances/course-fees.

UMD Information Technology Systems and Services (ITSS) publishes information pertaining to the
Full Access Technology fee at https://itss.d.umn.edu/centers-locations/computer-labs/labs-access.
Title IV Program Responsibilities
(See FCFI Questions 17–24 and Appendixes H–Q)

1. This requirement has several components the institution must address.
   - The team should verify that the following requirements are met:
     - General Program Requirements. The institution has provided HLC with information about the fulfillment of its Title IV program responsibilities, particularly findings from any review activities by the Department of Education. It has, as necessary, addressed any issues the Department has raised regarding the institution’s fulfillment of its responsibilities.
     - Financial Responsibility Requirements. The institution has provided HLC with information about the Department’s review of composite ratios and financial audits. It has, as necessary, addressed any issues the Department has raised regarding the institution’s fulfillment of its responsibilities in this area. (Note that the team should also be commenting under Criterion 5 if an institution has significant issues with financial responsibility as demonstrated through ratios that are below acceptable levels or other financial responsibility findings by its auditor.)
     - Default Rates. The institution has provided HLC with information about its three-year default rate. It has a responsible program to work with students to minimize default rates. It has, as necessary, addressed any issues the Department has raised regarding the institution’s fulfillment of its responsibilities in this area. Note that for 2012 and thereafter, institutions and teams should be using the three-year default rate based on revised default rate data published by the Department in September 2012; if the institution does not provide the default rate for three years leading up to the comprehensive evaluation visit, the team should contact the HLC staff.
     - Campus Crime Information, Athletic Participation and Financial Aid, and Related Disclosures. The institution has provided HLC with information about its disclosures. It has demonstrated, and the team has reviewed, the institution’s policies and practices for ensuring compliance with these regulations.
     - Student Right to Know/Equity in Athletics. The institution has provided HLC with information about its disclosures. It has demonstrated, and the team has reviewed, the institution’s policies and practices for ensuring compliance with these regulations. The disclosures are accurate and provide appropriate information to students. (Note that the team should also be commenting under Criterion 2, Core Component 2.A if the team determines that the disclosures are not accurate or appropriate.)
     - Satisfactory Academic Progress and Attendance Policies. The institution has provided HLC with information about its policies and practices for ensuring compliance with these regulations. The institution has demonstrated that the policies and practices meet state or federal requirements and that the institution is...
appropriately applying these policies and practices to students. In most cases, teams should verify that these policies exist and are available to students, typically in the course catalog or student handbook and online. Note that HLC does not necessarily require that the institution take attendance unless required to do so by state or federal regulations but does anticipate that institutional attendance policies will provide information to students about attendance at the institution.

- **Contractual Relationships.** The institution has presented a list of its contractual relationships related to its academic programs and evidence of its compliance with HLC policies requiring notification or approval for contractual relationships. (If the team learns that the institution has a contractual relationship that may require HLC approval and has not received HLC approval, the team must require that the institution complete and file the change request form as soon as possible. The team should direct the institution to review the Substantive Change Application for Programs Offered Through Contractual Arrangements on HLC’s website for more information.)

- **Consortial Relationships.** The institution has presented a list of its consortial relationships related to its academic programs and evidence of its compliance with HLC policies requiring notification or approval for consortial relationships. (If the team learns that the institution has a consortial relationship that may require HLC approval and has not received HLC approval, the team must require that the institution complete and file the form as soon as possible. The team should direct the institution to review the Substantive Change Application for Programs Offered Through Consortial Arrangements on HLC’s website for more information.)

- Review all of the information that the institution discloses having to do with its Title IV program responsibilities.
- Determine whether the Department has raised any issues related to the institution’s compliance or whether the institution’s auditor has raised any issues in the A-133 about the institution’s compliance, and also look to see how carefully and effectively the institution handles its Title IV responsibilities.
- If the institution has been cited or is not handling these responsibilities effectively, indicate that finding within the Federal Compliance portion of the team report and whether the institution appears to be moving forward with the corrective action that the Department has determined to be appropriate.
- If issues have been raised concerning the institution’s compliance, decide whether these issues relate to the institution’s ability to satisfy the Criteria for Accreditation, particularly with regard to whether its disclosures to students are candid and complete and demonstrate appropriate integrity (Core Components 2.A and 2.B).

2. Check the response that reflects the team’s conclusions after reviewing this component of Federal Compliance:

- ☑ The institution meets HLC’s requirements.
- ☐ The institution meets HLC’s requirements, but additional monitoring is recommended.
- ☐ The institution does not meet HLC’s requirements and additional monitoring is recommended.
The Federal Compliance reviewer/evaluation team also has comments that relate to the institution’s compliance with the Criteria for Accreditation. See Criterion (insert appropriate reference).

Rationale:

The institution has not been audited nor inspected by Office of the Inspector, DoE since its last evaluation by HLC. The most recent Title IV program audit conducted by the system was attached in Appendix H. The record demonstrates that there were no suspensions, terminations or other actions imposed.

The institutions composite ratios and financial audits were all reported annually and fall within the normal range. There are no corrective actions. Student default rates ranged from 2.6 to 2.8 over the past three years.

Source: Federal Student Aid website, https://www2.ed.gov/offices/OSFAP/defaultmanagement/cdr.html, October 2, 2017

Campus Crime Information, Athletic Participation and Financial Aid, Student Right to Know/Equity in Athletics and Satisfactory Academic Progress and Attendance Policies were reviewed. The Office of Student Life is responsible for distributing information. The campus crime information is available on the UMD website http://d.umn.edu/police-department and is emailed out to every student each semester. A sample email was provided in the evidence file. The required athletic participation and financial aid information is posted on the UMD student consumer information website https://champ.d.umn.edu/student-consumer-information/general and is also distributed via email to all students each semester. The satisfactory academic progress and attendance policies can be found on the UMD one stop website for students https://onestop.d.umn.edu/finances/satisfactory-academic-progress-sap

UMD had no contractual or consortial relationships at the time of the review.

Additional monitoring, if any:

Required Information for Students and the Public
(See FCFI Questions 25–27 and Appendixes R and S)

1. Verify that the institution publishes accurate, timely and appropriate information on institutional programs, fees, policies and related required information. Verify that the institution provides this required information in the course catalog and student handbook and on its website.

2. Check the response that reflects the team’s conclusions after reviewing this component of Federal Compliance:
   - The institution meets HLC’s requirements.
☐ The institution meets HLC’s requirements, but additional monitoring is recommended.

☐ The institution does not meet HLC’s requirements and additional monitoring is recommended.

☐ The Federal Compliance reviewer/evaluation team also has comments that relate to the institution’s compliance with the Criteria for Accreditation. See Criterion (insert appropriate reference).

Rationale:

The Office of Student Life is responsible for coordinating the publication of disclosures compiled with information from UMD’s Police Department, the Office of Athletics, and the Office of Financial Aid that each prepare, review for accuracy, and submit reports on time. The institution is not the subject of any federal investigation.

The Office of Student Life is responsible for coordinating and ensuring that student right-to-know information is updated regularly and linked to a central student consumer information website, available at http://d.umn.edu/student-consumer-information. The site includes information and statistics pertaining to academics, financial aid, health and safety, student outcomes, athletics, and other general information.

Information is provided according to federal requirements set forth in the Higher Education Act of 1965 (amended in 1988). Student information regarding policies (below) on satisfactory progress and attendance online and in the student handbook.

One Stop Student Services, https://onestop.d.umn.edu/
Dates and Deadlines, https://onestop.d.umn.edu/dates-and-deadlines
Grading, https://onestop.d.umn.edu/academics/grading-policies
Privacy of Student Records (FERPA), https://onestop.d.umn.edu/terms-and-conditions/student-recordsprivacy
Student Finances & Financial Aid, https://onestop.d.umn.edu/finances
Tuition and Fees, https://onestop.d.umn.edu/finances
Refund Policies, https://onestop.d.umn.edu/finances/refunds
Academic Catalog, http://d.umn.edu/catalog/
Academic Programs, http://d.umn.edu/majors-minors/
Degree Requirements, http://d.umn.edu/catalog/degree-requirements
Student Consumer Information, http://www.d.umn.edu/student-consumer-information

All items listed above are provided on the “Current Students” Resources webpage, http://d.umn.edu/currentstudents, which is linked directly to the UMD homepage.

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Full information is provided in
Appendix N, M, O and S

Syllabi reviewed:
Additional monitoring, if any:

Advertising and Recruitment Materials and Other Public Information
(See FCFI Questions 28–31 and Appendixes T and U)

1. Verify that the institution has documented that it provides accurate, timely and appropriately detailed information to current and prospective students and the public about its accreditation status with HLC and other agencies as well as about its programs, locations and policies.
   - Review the institution’s disclosure about its accreditation status with HLC to determine whether the information it provides is accurate, complete and appropriately formatted and contains HLC’s web address.
   - Review the institution’s disclosures about its relationship with other accrediting agencies for accuracy and for appropriate consumer information, particularly regarding the link between specialized/professional accreditation and the licensure necessary for employment in many professional or specialized areas.
   - Review the institution’s catalog, brochures, recruiting materials, website and information provided by the institution’s advisors or counselors to determine whether the institution provides accurate, timely and appropriate information to current and prospective students about its programs, locations and policies.
   - Verify that the institution correctly displays the Mark of Affiliation on its website.

2. Check the response that reflects the team’s conclusions after reviewing this component of Federal Compliance:
   - [ ] The institution meets HLC’s requirements.
   - [ ] The institution meets HLC’s requirements, but additional monitoring is recommended.
   - [ ] The institution does not meet HLC’s requirements and additional monitoring is recommended.
The Federal Compliance reviewer/evaluation team also has comments that relate to the institution’s compliance with the Criteria for Accreditation. See Criterion (insert appropriate reference).

Rationale:

The Office of Admissions updates website and publication facts on an annual basis. Information (programs, policies etc.) are provided or verified by Academic Affairs, the UMD Office of Institutional Research, and Student Life. Advertisements and recruitment materials are reviewed for accuracy by designated reviewers across campus.

UMD homepage, http://d.umn.edu/
About UMD, http://d.umn.edu/about-umd
Prospective student admissions, www.d.umn.edu/prospective
Undergraduate admissions, http://www.d.umn.edu/undergraduate-admissions
Graduate school admissions, http://www.d.umn.edu/graduate-school
The homepage for each academic college:
LSBE, https://lsbe.d.umn.edu/
CEHSP, https://cehsp.d.umn.edu/
SFA, https://sfa.d.umn.edu/
CLA, https://cla.d.umn.edu/
SCSE, https://scse.d.umn.edu/

Policies and related processes are attached in Appendix U.

The HLC mark of affiliation is provided at www.d.umn.edu/accreditation

Additional monitoring, if any:

Review of Student Outcome Data
(See FCFI Questions 32–35 and Appendix V)

1. Review the student outcome data the institution collects to determine whether they are appropriate and sufficient based on the kinds of academic programs the institution offers and the students it serves.

   - Determine whether the institution uses this information effectively to make decisions about planning, academic program review, assessment of student learning, consideration of institutional effectiveness and other topics.

   - Review the institution’s explanation of its use of information from the College Scorecard, including student retention and completion and the loan repayment rate.

2. Check the response that reflects the team’s conclusions after reviewing this component of Federal Compliance:

   ☒ The institution meets HLC’s requirements.

   ☐ The institution meets HLC’s requirements, but additional monitoring is recommended.
The institution does not meet HLC’s requirements and additional monitoring is recommended.

The Federal Compliance reviewer/evaluation team also has comments that relate to the institution’s compliance with the Criteria for Accreditation. See Criterion (insert appropriate reference).

Rationale:

The University of Minnesota System Office of Institutional Research tracks and publishes campus undergraduate retention and graduation rates annually. The University’s core definitions and business rules for collecting and analyzing information on student retention and completion of programs are based on Integrated Postsecondary Education System (IPEDS) protocols. UMD’s Office of Institutional Research (OIR) conducts further analysis to account for the unique aspects within the data such as retention/graduation by collegiate unit and race/ethnicity and retention by academic program.

The UMD Office of Institutional Research also publishes and/or shares data reports with campus leadership pertaining to additional student outcomes, including 1) degrees conferred by level, degrees by major, and degrees by race/ethnicity in the annual Campus Data Book, 2) credits at graduation by collegiate unit and by degree program, 3) time to graduation by collegiate unit and by degree program, and 4) DFW rates for 1xxx and 2xxx-level courses.

Career and Internship Services conducts the annual Graduate Follow-up Survey to collect data from undergraduate and graduate alumni one year after graduation. Data include employment and continuing education rates, location of employment, annual salaries, and job relevance to major. Bachelor-degree graduate data are reported by major and by school, and graduate-degree graduate data are reported by program. Departments may also collect information regarding graduate success.

The Accreditation Office in the College of Education and Human Services Professions sends annual surveys to Education alumni to solicit feedback about their respective program(s) and how well their preparation translated to teaching.

Locations for specific information documented include:

- Graduate Follow-up Report(s), all PDFs are available at http://www.d.umn.edu/career-internshipservices/choosing-major/what-are-recent-greats-doing.
- UMD’s academic program review process, http://www.d.umn.edu/academic-affairs/facultyresources/academic-program-review/traditional-department-program, is supported with a consistent set of program measures produced by the UMD OIR including student enrollment, applicant yield, and graduates. Also see Appendix V.

Additional monitoring, if any:
Publication of Student Outcome Data
(See FCFI Questions 36–38)

1. Verify that the institution makes student outcome data available and easily accessible to the public. Data may be provided at the institutional or departmental level or both, but the institution must disclose student outcome data that address the broad variety of its programs.

- Verify that student outcome data are made available to the public on the institution’s website—for instance, linked to from the institution’s home page, included within the top three levels of the website or easily found through a search of related terms on the website—and are clearly labeled as such.

- Determine whether the publication of these data accurately reflects the range of programs at the institution.

2. Check the response that reflects the team’s conclusions after reviewing this component of Federal Compliance:

   ☑ The institution meets HLC’s requirements.
   [] The institution meets HLC’s requirements, but additional monitoring is recommended.
   [] The institution does not meet HLC’s requirements and additional monitoring is recommended.
   [] The Federal Compliance reviewer/evaluation team also has comments that relate to the institution’s compliance with the Criteria for Accreditation. See Criterion (insert appropriate reference).

Rationale:
The Strategic Enrollment Management (SEM) Subcommittee is charged with utilizing data and information from multiple sources in order to enhance planning and actions supporting student success. Analysis of student risk of attrition provides one such example. Driven by a campus goal of increasing student persistence and graduation rates, the Assistant Vice Chancellor (AVC) for Strategic Enrollment and Institutional Research worked with a UMD OIR research analyst to conduct and publish a study of retention and graduation rates by race/ethnicity, available on the college score card at https://collegescorecard.ed.gov/school/?174233-University-of-Minnesota-Duluth
https://drive.google.com/file/d/0B93iDYithILamVTJgyn29vVUU/view

The University of Minnesota System Office of Institutional Research maintains outcomes data related to degrees conferred and retention and graduation rates. All data are drawn from the University’s data warehouse and are verified by data analysts to ensure completeness and quality. Retention and graduation rate data are publicly available at campus and unit levels plus the annual UMD Campus Data Book reports degree conferral rates for each undergraduate and graduate program. Links are below, by topic.

Student Consumer Information – Outcomes main page is http://www.d.umn.edu/student-consumerinformation/student-outcomes, which can found within two levels of the UMD website (e.g.,
homepage: “About UMD” / Student Consumer Information is a Related Link on the landing page) or by doing a search from any UMD webpage.

Links on Student Consumer Information – Outcomes page are provided for:
- Retention and Graduation Rates - select Duluth Campus, https://www.oir.umn.edu/student/retention
- Graduation Rates for Students Receiving Athletically Related Student Aid, https://www.oir.umn.edu/student/right-to-know
- UMD Office of Institutional Research: http://www.d.umn.edu/vcaa/institutionalresearch
- College of Education and Human Services Professions (CEHSP) Department of Education Title II Reports, https://cehsp.d.umn.edu/departments-centers/departmenteducation/about/accreditation

Additional monitoring, if any:

Standing With State and Other Accrediting Agencies
(See FCFI Questions 39–40 and Appendixes W and X)

1. Verify that the institution discloses accurately to the public and HLC its relationship with any other specialized, professional or institutional accreditors and with all governing or coordinating bodies in states in which the institution may have a presence.

The team should consider any potential implications for accreditation by HLC of a sanction or loss of status by the institution with any other accrediting agency or of loss of authorization in any state.

Note: If the team is recommending initial or continued status, and the institution is now or has been in the past five years under sanction or show-cause with, or has received an adverse action (i.e., withdrawal, suspension, denial or termination) from, any other federally recognized specialized or institutional accreditor or a state entity, then the team must explain the sanction or adverse action of the other agency in the body of the assurance section of the team report and provide its rationale for recommending HLC status in light of this action.

- Review the list of relationships the institution has with all other accreditors and state governing or coordinating bodies, along with the evaluation reports, action letters and interim monitoring plans issued by each accrediting agency.

- Verify that the institution’s standing with state agencies and accrediting bodies is appropriately disclosed to students.

- Determine whether this information provides any indication about the institution’s capacity to meet HLC’s Criteria for Accreditation. Should the team learn that the institution is at risk
of losing, or has lost, its degree or program authorization in any state in which it meets state presence requirements, it should contact the HLC staff liaison immediately.

2. Check the response that reflects the team’s conclusions after reviewing this component of Federal Compliance:

- ☒ The institution meets HLC’s requirements.
- ☐ The institution meets HLC’s requirements, but additional monitoring is recommended.
- ☐ The institution does not meet HLC’s requirements and additional monitoring is recommended.
- ☐ The Federal Compliance reviewer/evaluation team also has comments that relate to the institution’s compliance with the Criteria for Accreditation. See Criterion (insert appropriate reference).

Rationale:

There are multiple state and accreditation agencies with whom the institution works, and whose guidelines and standards the institution follows. A list is provided here. There are no sanctions or audits documented in any of the agencies.

Accreditation Board for Engineering and Technology (ABET): all Bachelor Degree Programs in Chemical Engineering, Civil Engineering, Computer Science, Electrical Engineering, Industrial Engineering, Mechanical Engineering

American Chemical Society (ACS): all Bachelor and Master Degree Programs in Chemistry

Association to Advance Collegiate Schools of Business - International (AACSB): Bachelor of Accounting, Bachelor of Business Administration, Master of Business Administration


Minnesota Board of Teaching: All Bachelor Degree Teacher Licensure Programs

National Association of Schools of Art and Design (NASAD): Bachelor of Arts in Art, Bachelor of Arts in Art History, Bachelor of Fine Arts in Art Education, Bachelor of Fine Arts in Graphic Design, Bachelor of Fine Arts in Studio Art

National Association of Schools of Music (NASM): Bachelor of Arts in Music, Bachelor of Music in Jazz Studies, Bachelor of Music in Music Education, Bachelor of Music in Performance, Bachelor of Music in Theory/Composition, Master of Music in Music Education, Master of Music in Performance

Additional monitoring, if any:

Public Notification of Opportunity to Comment
(FCFI Questions 41–43 and Appendix Y)
1. Verify that the institution has made an appropriate and timely effort to solicit third-party comments. The team should evaluate any comments received and complete any necessary follow-up on issues raised in these comments.

   **Note:** If the team has determined that any issues raised by third-party comments relate to the team’s review of the institution’s compliance with the Criteria for Accreditation, it must discuss this information and its analysis in the appropriate section of its report in the Assurance System.

   - Review information about the public disclosure of the upcoming visit, including copies of the institution’s notices, to determine whether the institution made an appropriate and timely effort to notify the public and seek comments.
   - Evaluate the comments to determine whether the team needs to follow up on any issues through its interviews and review of documentation during the visit process.

2. Check the response that reflects the team’s conclusions after reviewing this component of Federal Compliance:

   - The institution meets HLC’s requirements.
   - The institution meets HLC’s requirements, but additional monitoring is recommended.
   - The institution does not meet HLC’s requirements and additional monitoring is recommended.
   - The evaluation team also has comments that relate to the institution’s compliance with the Criteria for Accreditation. See Criterion (insert appropriate reference).

**Rationale:**

The following groups were given notice of opportunity to comment:

- UMD Students, Faculty, and Staff
- University of Minnesota Students, Faculty, and Staff
- Parents
- Alumni
- Donors
- Local taxpayers, businesses, and community members
- Any external constituent viewing the UMD News website where the notice was placed

Media used to solicit comments:

- UMD News, accessed electronically by:
- Homepage news link
- Student and Employee login portal ("MyU")
- UMN Brief” headline and story (system-wide communication)
- UMD Publications (electronic):
- Bulldog Update” (to students)
- Parent Newsletter
- Email Announcement to Alumni
- Announcement on UMD Development website
- Duluth News Tribune (local newspaper, print version)
UMD received nine comments through this process and the team reviewed those comments.

### Additional monitoring, if any:

#### Competency-Based Programs Including Direct Assessment Programs/Faculty-Student Engagement

(See FCFI Questions 44–47)

1. Verify that students and faculty in any direct assessment or competency-based programs offered by the institution have regular and substantive interactions: the faculty and students communicate on some regular basis that is at least equivalent to contact in a traditional classroom, and that in the tasks mastered to assure competency, faculty and students interact about critical thinking, analytical skills, and written and oral communication abilities, as well as about core ideas, important theories, current knowledge, etc. (Also, confirm that the institution has explained the credit hour equivalencies for these programs in the credit hour sections of the Federal Compliance Filing.)

- Review the list of direct assessment or competency-based programs offered by the institution.
- Determine whether the institution has effective methods for ensuring that faculty in these programs regularly communicate and interact with students about the subject matter of the course.
- Determine whether the institution has effective methods for ensuring that faculty and students in these programs interact about key skills and ideas in the students’ mastery of tasks to assure competency.

2. Check the response that reflects the team’s conclusions after reviewing this component of Federal Compliance:

- The institution meets HLC’s requirements.
- The institution meets HLC’s requirements, but additional monitoring is recommended.
- The institution does not meet HLC’s requirements and additional monitoring is recommended.
- The Federal Compliance reviewer/evaluation team also has comments that relate to the institution’s compliance with the Criteria for Accreditation. See Criterion (insert appropriate reference).

#### Rationale:

The institution does not offer any direct assessment programs.

#### Additional monitoring, if any:
Institutional Materials Related to Federal ComplianceReviewed by the Team

Provide a list of materials reviewed here:

All websites listed above, and all Appendices, A through Y. And all syllabi for three courses offered in various formats, including F2F, online, Summer, Spring, and Fall semesters.

- UM_Duluth_Federal_Compliance_Filing_March_12_2018.pdf
- Appendix_A_Worksheet_on_Assignment_of_Credit_Hours_and_Clock_Hours.pdf
- Appendix_B_Institutional_complaint_policy_and_procedure.pdf
- Appendix_C_Complaints_received_and_their_resolutions.pdf
- Appendix_D_Published_Transfer_Policies.pdf
- Appendix_F_List_of_publicly_available_articulation_agreements.pdf
- Appendix_F_Evidence_that_decisions_regarding_transfer_align_with_disclosed_policy.pdf
- Appendix_G_Disclosures_of_additional_costs_related_to_verification.pdf
- Appendix_H_Most_recent_program_review_or_other_inspection_or_audit_reports.pdf
- Appendix_I_Correspondence_and_other_documents_explaining_the_institution's_general_program_responsibilities.pdf
- Appendix_J_Samples_of_loan_agreements_and_disclosure_information.pdf
- Appendix_M_Disclosures_to_students_about_campus_crime_informationAthletic_participation_and_financial_aid.pdf
- Appendix_N_Disclosures_to_students_required_by_student_right_to_know-equity_in_athletics_responsibilities.pdf
- Appendix_O_Disclosures_to_students_about_satisfactory_academic_progress_and_attendance_policies.pdf
- Appendix_R_Course_catalogs_and_student_handbooks.pdf
- Appendix_S_Policies_and_procedures_to_ensure_required_information_is_accurate_timely_and_appropriate.pdf
- Appendix_T_Advertising_and_recruiting_materials.pdf
- Appendix_U_Policies_and_procedures_to_ensure_advertising_and_recruiting_information_is_accurate_timely_and_appropriate.pdf
- Appendix_V_Types_of_student_outcome_data_available_to_the_institution.pdf
- Appendix_W_Comprehensive_evaluation_reports_and_action_letters_from_and_interim_monitoring_prepared_for_institutional_and_specialized_accrediting_agencies.pdf
- Appendix_X_Sample_disclosures_of_institution_standing_with_state_agencies_and_accrediting_bodies.pdf
- Appendix_Y_Notices_of_opportunity_to_comment.pdf

The entire university website http://www.d.umn.edu/
Academic Policies

Classroom Policies

- Academic Space Allocation Guidelines
- Class Scheduling
- Course Notes & Materials
- Excused Absences
- Instructor and Student Responsibilities
- Recommended Syllabi Policy Statements
- Student Academic Integrity
- Student Academic Complaint Resolution
- Syllabus Policy

Enrollment & Transfer Policies

- Course Enrollment Limitations
- Course Numbering
• Credit for Prior Learning
• High School Preparation Requirements
• Leave of Absence and Readmission for Undergraduates
• Transfer of Undergraduate Credit
• Undergraduate Admission
• Undergraduate Degree Requirements
• Withdrawal from the University

Examination Policies
• Exams Outside of Class
• Exams for Credit or Proficiency
• Final Examinations

Grading Policies
• Academic Standing
• Distinction & Honors Degrees
• Grading & Transcripts
• Mid-Term Grade Alerts
• Satisfactory/Non-Satisfactory Grading Policy

Registration Policies
• Credit Standards
• Holds on Records & Registration
• Inactive Courses
• Maintaining Course Records
• Prerequisites
Team Worksheet for Evaluating an Institution’s Assignment of Credit Hours and Clock Hours

Institution Under Review: University of Minnesota- Duluth  March 2018

Review the Worksheet for Institutions on the Assignment of Credit Hours and Clock Hours, including all supplemental materials. Applicable sections and supplements are referenced in the corresponding sections and questions below.

Part 1. Institutional Calendar, Term Length and Type of Credit

Instructions
Review Section 1 of Appendix A. Verify that the institution has calendar and term lengths within the range of good practice in higher education.

Responses
A. Answer the Following Question

1. Are the institution’s calendar and term lengths, including non-standard terms, within the range of good practice in higher education? Do they contribute to an academic environment in which students receive a rigorous and thorough education?

☑ Yes  ☐ No

Comments:

The institution offers regular academic terms of 15 weeks with one start. They also offer first and second ‘half compressed format’ sessions of 7 weeks with varied starts. In addition the number of weeks vary as they may be extended from regular session dates.

Summer terms are offered as regular 8 week sessions, first 7-week and second 7-week sessions and May Session, First half of term and Second half of terms. Again, as in the fall and spring sessions, regular sessions may be extended to various additional weeks.

There are no quarter calendar sessions offered by the institution. A listing of undergrad-and grad-degree programs are given in Appendix A and online on the institutions catalog. http://www.d.umn.edu/catalog/
Cross listed courses

A cross listed course consists of a single course offered for registration under two different course designators. A cross listed course must be at the same level (e.g. 1000-level, 3000-level, etc), have the same content, title, description, outcomes, same or equivalent prerequisites, and be offered for the same number of credits. Course proposals and syllabi for the cross-listed courses must be discussed and approved by both departments, collegiate curriculum committee(s), and dean(s) prior to review by EVCAA. A compelling case based on course content and outcomes must be made on the Course Proposal for cross-listing a course. The decision by a department to discontinue a cross-listed course is unilateral and must be communicated in writing and routed through the usual curriculum process.

Are

B. Recommend HLC Follow-Up, If Appropriate

Is any HLC follow-up required related to the institution’s calendar and term length practices?

☐ Yes ☒ No

Rationale:

While the array of credits per course, meeting hours and meeting lengths differ widely across course types, they are standardized within the course type, and the work assigned to students remains constant across setting and course formats. The document provided extensive information on reasons for variations between course formats and credit hours given within specific degree programs, such as Engineering, that require internships, study abroad courses, ESL, and Grad 999 degree completion, and Coop courses. (App A-p9)

Identify the type of HLC monitoring required and the due date:

Part 2. Policy and Practices on Assignment of Credit Hours

Instructions

Review Sections 2–4 of the Worksheet for Institutions on the Assignment of Credit Hours and Clock Hours, including supplemental materials as noted below. In assessing the appropriateness of the credit allocations provided by the institution the team should complete the following steps. The outcomes of the team’s review should be reflected in its responses below.

1. Format of Courses and Number of Credits Awarded. Review the Form for Reporting an Overview of Credit Hour Allocations and Instructional Time for Courses (Supplement A1 to the
Worksheet for Institutions) completed by the institution, which provides an overview of credit hour assignments across institutional offerings and delivery formats.

2. Scan the course descriptions in the catalog and the number of credit hours assigned for courses in different departments at the institution (see Supplements B1 and B2 to Worksheet for Institutions, as applicable).

- At semester-based institutions courses will be typically be from two to four credit hours (or approximately five quarter hours) and extend approximately 14–16 weeks (or approximately 10 weeks for a quarter). The descriptions in the catalog should reflect courses that are appropriately rigorous and have collegiate expectations for objectives and workload. Identify courses/disciplines that seem to depart markedly from these expectations.

- Institutions may have courses that are in compressed format, self-paced, or otherwise alternatively structured. Credit assignments should be reasonable. (For example, as a full-time load for a traditional semester is typically 15 credits, it might be expected that the norm for a full-time load in a five-week term is 5 credits; therefore, a single five-week course awarding 10 credits would be subject to inquiry and justification.)

- Teams should be sure to scan across disciplines, delivery mode and types of academic activities.

- Federal regulations allow for an institution to have two credit-hour awards: one award for Title IV purposes and following the federal definition and one for the purpose of defining progression in and completion of an academic program at that institution. HLC procedure also permits this approach.

3. Scan course schedules to determine how frequently courses meet each week and what other scheduled activities are required for each course (see Supplement B3 to Worksheet for Institutions). Pay particular attention to alternatively structured or other courses completed in a short period of time or with less frequently scheduled interaction between student and instructor that have particularly high credit hour assignments.

4. Sampling. Teams will need to sample some number of degree programs based on the headcount at the institution and the range of programs it offers.

- For the programs sampled, the team should review syllabi and intended learning outcomes for several courses, identify the contact hours for each course, and review expectations for homework or work outside of instructional time.

- At a minimum, teams should anticipate sampling at least a few programs at each degree level.

- For institutions with several different academic calendars or terms or with a wide range of academic programs, the team should expand the sample size appropriately to ensure that it is paying careful attention to alternative format and compressed and accelerated courses.
• Where the institution offers the same course in more than one format, the team is advised to sample across the various formats to test for consistency.

5. **Direct Assessment or Competency-Based Programs.** Review the information provided by the institution regarding any direct assessment or competency-based programs that it offers, with regard to the learning objectives, policies and procedures for credit allocation, and processes for review and improvement in these programs.

6. **Policy on Credit Hours and Total Credit Hour Generation.** With reference to the institutional policies on the assignment of credit provided in Supplement A2 to *Worksheet for Institutions*, consider the following questions:

   • Does the institution’s policy for awarding credit address all the delivery formats employed by the institution?

   • Does that policy address the amount of instructional or contact time assigned and homework typically expected of a student with regard to credit hours earned?

   • For institutions with courses in alternative formats or with less instructional and homework time than would be typically expected, does that policy also equate credit hours with intended learning outcomes and student achievement that could be reasonably achieved by a student in the time frame allotted for the course?

   • Is the policy reasonable within the federal definition as well as within the range of good practice in higher education? (Note that HLC will expect that credit hour policies at public institutions that meet state regulatory requirements or are dictated by the state will likely meet federal definitions as well.)

   • If so, is the institution’s assignment of credit to courses reflective of its policy on the award of credit?

   • Do the number of credits taken by typical undergraduate and graduate students, as well as the number of students earning more than the typical number of credits, fall within the range of good practice in higher education?

7. If the answers to the above questions lead the team to conclude that there may be a problem with the credit hours awarded the team should recommend the following:

   • If the problem involves a poor or insufficiently detailed institutional policy, the team should call for a revised policy as soon as possible by requiring a monitoring report within no more than one year that demonstrates the institution has a revised policy and provides evidence of implementation.

   • If the team identifies an application problem and that problem is isolated to a few courses or a single department, division or learning format, the team should call for follow-up activities (a
monitoring report or focused evaluation) to ensure that the problems are corrected within no more than one year.

- If the team identifies systematic noncompliance across the institution with regard to the award of credit, the team should notify the HLC staff immediately and work with staff members to design appropriate follow-up activities. HLC shall understand systematic noncompliance to mean that the institution lacks any policies to determine the award of academic credit or that there is an inappropriate award of institutional credit not in conformity with the policies established by the institution or with commonly accepted practices in higher education across multiple programs or divisions or affecting significant numbers of students.

**Worksheet on Assignment of Credit Hours**

**A. Identify the Sample Courses and Programs Reviewed by the Team**

The following courses were reviewed.

<table>
<thead>
<tr>
<th>Course Code</th>
<th>Submission Date</th>
<th>File Type</th>
<th>Size</th>
</tr>
</thead>
<tbody>
<tr>
<td>BIOL 1001_Spring18_Online.docx</td>
<td>3/27/2018 9:25 AM</td>
<td>Microsoft Word D...</td>
<td>22 KB</td>
</tr>
<tr>
<td>BIOL 1001_Summer17_Online.docx</td>
<td>3/27/2018 9:25 AM</td>
<td>Microsoft Word D...</td>
<td>19 KB</td>
</tr>
<tr>
<td>WRIT 3110_section-F2F-1_Spring 18.pdf</td>
<td>3/27/2018 9:25 AM</td>
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<tr>
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<td>3/27/2018 9:25 AM</td>
<td>Microsoft Word D...</td>
<td>36 KB</td>
</tr>
</tbody>
</table>

**B. Answer the Following Questions**

1. Institutional Policies on Credit Hours

   a. Does the institution’s policy for awarding credit address all the delivery formats employed by the institution? (Note that for this question and the questions that follow an institution may have a single comprehensive policy or multiple policies.)

   ☑ Yes
   ☐ No

   Comments:

   The institution documents that there is an institution wide policy that gives specific rules for the assignment of credit by coursework. This policy is delivery-format specific and operates across departments and programs. It is found online and in the student handbook.

   Found online at [http://d.umn.edu/academic-affairs/academic-policies](http://d.umn.edu/academic-affairs/academic-policies).
and identified in the review of syllabi.

b. Does that policy relate the amount of instructional or contact time provided and homework typically expected of a student to the credit hours awarded for the classes offered in the delivery formats offered by the institution? (Note that an institution’s policy must go beyond simply stating that it awards credit solely based on assessment of student learning and should also reference instructional time.)

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Comments:

Found in the online catalog at [http://d.umn.edu/academic-affairs/academic-policies/registration-policies/credit-standards](http://d.umn.edu/academic-affairs/academic-policies/registration-policies/credit-standards) and identified in the review of syllabi.

c. For institutions with non-traditional courses in alternative formats or with less instructional and homework time than would be typically expected, does that policy equate credit hours with intended learning outcomes and student achievement that could be reasonably achieved by a student in the time frame and utilizing the activities allotted for the course?

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<thead>
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<th>Yes</th>
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</table>

Comments:

There were minor differences in the syllabi created by different instructors of sections of the same course, but the elements were the same, expectations of students the same, and each syllabi listed the regulations of the institution.

d. Is the policy reasonable within the federal definition as well as within the range of good practice in higher education? (Note that HLC will expect that credit hour policies at public institutions that meet state regulatory requirements or are dictated by the state will likely meet federal definitions as well.)

<table>
<thead>
<tr>
<th></th>
<th>Yes</th>
<th>No</th>
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Comments:

In the instructions for the course syllabi found online at [http://d.umn.edu/academic-affairs/academic-policies/classroom-policies/syllabus-policy](http://d.umn.edu/academic-affairs/academic-policies/classroom-policies/syllabus-policy)

2. Application of Policies

a. Are the course descriptions and syllabi in the sample academic programs reviewed by the team appropriate and reflective of the institution’s policy on the award of credit? (Note that HLC will expect that credit hour policies at public institutions that meet state regulatory requirements or are dictated by the state will likely meet federal definitions as well.)

<table>
<thead>
<tr>
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<th>Yes</th>
<th>No</th>
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</table>
Comments:

This is documented in the aforementioned catalog and was found upon review of the individual syllabi.

b. Are the learning outcomes in the sample reviewed by the team appropriate to the courses and programs reviewed and in keeping with the institution's policy on the award of credit?

☒ Yes ☐ No

Comments:

The policy is updated regularly as provided by the institutional guidelines for continuous improvement. Found online in Academic Affairs http://d.umn.edu/academic-affairs/academic-policies/classroom-policies/syllabus-policy

c. If the institution offers any alternative-delivery or compressed-format courses or programs, are the course descriptions and syllabi for those courses appropriate and reflective of the institution's policy on the award of academic credit?

☒ Yes ☐ No

Comments:

Extensively documented in Appendix A of the Federal Compliance Worksheet on Credit Hours, and described within this section, above, and noted in the various syllabi reviewed..

d. If the institution offers alternative-delivery or compressed-format courses or programs, are the learning outcomes reviewed by the team appropriate to the courses and programs reviewed and in keeping with the institution's policy on the award of credit? Are the learning outcomes reasonable for students to fulfill in the time allocated, such that the allocation of credit is justified?

☒ Yes ☐ No

Comments:
e. Is the institution’s actual assignment of credit to courses and programs across the institution reflective of its policy on the award of credit and reasonable and appropriate within commonly accepted practice in higher education?

☐ Yes  ☐ No

Comments:
Yes. This was documented by a review of the syllabi.

C. **Recommend HLC Follow-up, If Appropriate**

Review the responses provided in this worksheet. If the team has responded “no” to any of the questions above, the team will need to assign HLC follow-up to assure that the institution comes into compliance with expectations regarding the assignment of credit hours.

Is any HLC follow-up required related to the institution’s credit hour policies and practices?

☐ Yes  ☒ No

Rationale:

The documents provided by the institution were complete and addressed every section of the requirement for Credit Hours provided by courses offered in many formats and programs across the institution.

Identify the type of HLC monitoring required and the due date:

D. **Systematic Noncompliance in One or More Educational Programs With HLC Policies Regarding the Credit Hour**

Did the team find systematic noncompliance in one or more education programs with HLC policies regarding the credit hour?

☐ Yes  ☒ No

Identify the findings:

Rationale:

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**Part 3. Clock Hours**
Instructions
Review Section 5 of Worksheet for Institutions, including Supplements A3–A6. Before completing the worksheet below, answer the following question:

Does the institution offer any degree or certificate programs in clock hours or programs that must be reported to the Department of Education in clock hours for Title IV purposes even though students may earn credit hours for graduation from these programs?

☐ Yes ☑ No

If the answer is “Yes,” complete the “Worksheet on Clock Hours.”

Note: This worksheet is not intended for teams to evaluate whether an institution has assigned credit hours relative to contact hours in accordance with the Carnegie definition of the credit hour. This worksheet solely addresses those programs reported to the Department of Education in clock hours for Title IV purposes.

Non-degree programs subject to clock hour requirements (for which an institution is required to measure student progress in clock hours for federal or state purposes or for graduates to apply for licensure) are not subject to the credit hour definitions per se but will need to provide conversions to semester or quarter hours for Title IV purposes. Clock hour programs might include teacher education, nursing or other programs in licensed fields.

Federal regulations require that these programs follow the federal formula listed below. If there are no deficiencies identified by the accrediting agency in the institution’s overall policy for awarding semester or quarter credit, the accrediting agency may provide permission for the institution to provide less instruction so long as the student’s work outside class in addition to direct instruction meets the applicable quantitative clock hour requirements noted below.

Federal Formula for Minimum Number of Clock Hours of Instruction (34 CFR §668.8):

1 semester or trimester hour must include at least 37.5 clock hours of instruction
1 quarter hour must include at least 25 clock hours of instruction

Note that the institution may have a lower rate if the institution’s requirement for student work outside of class combined with the actual clock hours of instruction equals the above formula provided that a semester/trimester hour includes at least 30 clock hours of actual instruction and a quarter hour includes at least 20 semester hours.

Worksheet on Clock Hours
A. Answer the Following Questions

1. Does the institution’s credit-to-clock-hour formula match the federal formula?

☐ Yes ☐ No

Comments:
2. If the credit-to-clock-hour conversion numbers are less than the federal formula, indicate what specific requirements there are, if any, for student work outside of class.

3. Did the team determine that the institution’s credit hour policies are reasonable within the federal definition as well as within the range of good practice in higher education? (Note that if the team answers “No” to this question, it should recommend follow-up monitoring in section C below.)

   - Yes
   - No

   Comments:

4. Did the team determine in reviewing the assignment of credit to courses and programs across the institution that it was reflective of the institution’s policy on the award of credit and reasonable and appropriate within commonly accepted practice in higher education?

   - Yes
   - No

   Comments:

B. Does the team approve variations, if any, from the federal formula in the institution’s credit-to-clock-hour conversion?

   - Yes
   - No

C. Recommend HLC Follow-up, If Appropriate

   Is any HLC follow-up required related to the institution’s clock hour policies and practices?

   - Yes
   - No

   Rationale:

   Identify the type of HLC monitoring required and the due date: