Kicking Off Your Compliance Certification Process with Effective Participatory Training

SACSCOC Annual Meeting, December 9, 2012, Dallas, TX

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SACS Reaffirmation @ Longwood 2014

- Leadership Team
- Compliance Steering Committee
- Compliance Teams
  - Educational Programs
  - Faculty
  - Finance and Physical Facilities
  - Institutional Effectiveness
  - Library, Learning Resources and Academic Support Services
  - Mission, Governance and Administration
  - Student Affairs and Student Support Services
Closing the Fifth-Year Loop

- Fifth-Year Interim Report in 2010
- 9-month “baptism by fire” with the Principles
- Evaluation survey
  - More time
  - More training
  - More knowledge of what other subcommittees were doing
- Reaffirmation 2014
  - What can we do better this time?
  - Half-day Compliance Kickoff in January 2012
Kickoff Learning Outcomes

- Understand the final product and timeline
- Understand the goals of the audit findings due April 6
- Break down a standard to determine the meaning
- Identify and locate appropriate supporting documentation
- Make an initial determination of compliance
- Identify and access the resources and support in place
Kickoff Planning and Activities

- Handouts
- Team-oriented
- Group activities
- Steering liaisons
- Parking lot
3.3 Taking Apart a Standard
Group Activity A - 15 Minutes

Divide into 4 groups (2 per table). Choose one of the example standards envelopes (each group should have a different standard).

1. Make lists of the nouns, adjectives, adverbs and verbs in the standard.
2. Discuss the meaning of each key word.
3. Pay attention to commas, compound modifiers and conjunctions.
4. Choose one word to share with your team.
5. EASEL: What would help you next?

ENVELOPE: Example Standards (by team)
Kickoff Evaluation – Learning Outcomes

Respondents who indicated they felt very confident or extremely confident about their ability as a Compliance Team member to do the following as a result of the Kickoff:

<table>
<thead>
<tr>
<th>Learning Outcome</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Understand the final product and timeline.</td>
<td>55% (n=67)</td>
</tr>
<tr>
<td>Understand the goals of the audit findings due April 6.</td>
<td>50% (n=66)</td>
</tr>
<tr>
<td>Break down a standard to determine the meaning.</td>
<td>51% (n=65)</td>
</tr>
<tr>
<td>Identify and locate appropriate supporting documentation.</td>
<td>41% (n=66)</td>
</tr>
<tr>
<td>Make an initial determination of compliance.</td>
<td>34% (n=65)</td>
</tr>
<tr>
<td>Identify and access the resources and support in place.</td>
<td>48% (n=66)</td>
</tr>
</tbody>
</table>
Kickoff Evaluation – Most Beneficial

- Open-ended responses (n=60) to the question “What about the Kickoff was the MOST beneficial for you?” were categorized as follows:

<table>
<thead>
<tr>
<th>Open-Ended Response Category</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Group/team activities and interaction</td>
<td>43%</td>
</tr>
<tr>
<td>Process/overview/expectations</td>
<td>33%</td>
</tr>
<tr>
<td>Breaking down standard meaning</td>
<td>13%</td>
</tr>
<tr>
<td>Handouts</td>
<td>10%</td>
</tr>
<tr>
<td>Organization</td>
<td>8%</td>
</tr>
<tr>
<td>Uncategorized</td>
<td>8%</td>
</tr>
</tbody>
</table>
Open-ended responses (n=51) to the question “What about the Kickoff was the LEAST beneficial for you?” were categorized as follows:

<table>
<thead>
<tr>
<th>Open-Ended Response Category</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Other (no discernible similarities)</td>
<td>55%</td>
</tr>
<tr>
<td>Table arrangement</td>
<td>14%</td>
</tr>
<tr>
<td>Blog</td>
<td>14%</td>
</tr>
<tr>
<td>Breaking down standard meaning</td>
<td>10%</td>
</tr>
<tr>
<td>Group/team activities and interaction</td>
<td>4%</td>
</tr>
<tr>
<td>Length (too long)</td>
<td>4%</td>
</tr>
</tbody>
</table>
Kickoff Evaluation – What else do you need?

- Open-ended responses (n=49) to the question “What else do you need from the SACS Reaffirmation Office to work effectively on your Compliance Team?” were categorized as follows:

<table>
<thead>
<tr>
<th>Open-Ended Response Category</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Nothing</td>
<td>61%</td>
</tr>
<tr>
<td>Specific item</td>
<td>16%</td>
</tr>
<tr>
<td>Time</td>
<td>12%</td>
</tr>
<tr>
<td>Reminders/timeline</td>
<td>6%</td>
</tr>
<tr>
<td>Blog</td>
<td>4%</td>
</tr>
</tbody>
</table>
Post-Kickoff

- Immediate follow-up on “parking lot” issues
- Follow-up meetings with each chair
- Attended first team meeting
- Steering Committee liaisons
- Monthly lunch with Compliance Team chairs
Compliance Audit Evaluation

- Compliance audit January to May
- Audit evaluation survey in May
- Purpose of survey
  - Post-test on Kickoff learning outcomes
  - Gauge current needs and process concerns
  - Prepare for the future
Compliance Audit Evaluation – Looking Back

- Respondents who indicated they felt very confident or extremely confident about their ability as a Compliance Team member to do the following (n=52):

<table>
<thead>
<tr>
<th>Learning Outcome</th>
<th>Pre</th>
<th>Post</th>
</tr>
</thead>
<tbody>
<tr>
<td>Understand the final product and timeline.</td>
<td>55%</td>
<td>48%</td>
</tr>
<tr>
<td>Understand the goals of the audit findings due April 6.</td>
<td>50%</td>
<td>46%</td>
</tr>
<tr>
<td>Break down a standard to determine the meaning.</td>
<td>51%</td>
<td>48%</td>
</tr>
<tr>
<td>Identify and locate appropriate supporting documentation.</td>
<td>41%</td>
<td>50%</td>
</tr>
<tr>
<td>Make an initial determination of compliance.</td>
<td>34%</td>
<td>40%</td>
</tr>
<tr>
<td>Identify and access the resources and support in place.</td>
<td>48%</td>
<td>40%</td>
</tr>
</tbody>
</table>
Compliance Audit Evaluation – Looking Back

In terms of training or support that you received at or after the Compliance Kickoff:

- **MOST beneficial (n=47)**
  - Importance of understanding meaning of standard
  - Handouts and other resources
  - Working with team members
  - Understanding the process and big picture

- **LEAST beneficial (n=36)**
  - Nothing or N/A
  - Blog
Respondents who indicated the following were very helpful or extremely helpful in their work on the compliance audit this spring (n=52):

<table>
<thead>
<tr>
<th>Type of Supporting Mechanism</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Discussions with team members</td>
<td>73%</td>
</tr>
<tr>
<td>Input from the Compliance Team chair</td>
<td>65%</td>
</tr>
<tr>
<td>Team folder on the reaffirmation network share</td>
<td>60%</td>
</tr>
<tr>
<td>Supporting documents already on network share</td>
<td>54%</td>
</tr>
<tr>
<td>Information on the Standards Matrix</td>
<td>44%</td>
</tr>
<tr>
<td>Compliance reports at other institutions</td>
<td>44%</td>
</tr>
<tr>
<td>Email notifications from the blog</td>
<td>19%</td>
</tr>
</tbody>
</table>
Open-ended responses (n=46) to the question “What helped you to resolve problems or clarify confusing issues?” emphasized the importance of the people involved:
- Compliance Team chair
- Team members
- Steering Committee
Open-ended responses (n=41) to the question “What is your biggest question or concern about the work you will be doing in the fall?” revealed three themes:

- Workload
- Supporting documentation
- Uncertainty
Closing the Loop & Moving Forward

- Direct result of Compliance Audit evaluation
  - Discontinued the blog
  - Compensated hard workers
  - No replacement for timely personal interaction

- Summer 2012 into Fall 2012
  - Two joint meetings of Compliance Team chairs and Steering Committee
  - Compliance Team chairs monthly lunch
  - CT Chairs weekly update via email

- Continuous improvement
  - Managing workload – necessary vs. nice
Takeaways for Training

- Expect a delayed payoff
- Hands-on works
- Connect compliance teams with liaisons
- Provide handouts for later
- Present the big picture
- Follow up on the parking lot
Questions?

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