

**SUNY Potsdam
Administrative Unit
Assessment Summary Form**

Administrative Unit: Registrar

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Assessment Year: 2022-2023

PURPOSE

This annual assessment summary form provides the opportunity for units to follow-up on their assessment plans, track progress toward goals, and to highlight actions taken to improve processes and/or efficiencies in functioning that lead to outcomes that benefits students, staff, or the college. These could be process changes or improvements in efficiency, skill level of staff, opportunities for the college, or other aspects over which the unit has a certain amount of control.

SECTION 1: ASSESSMENT PLAN FOLLOW-UP

A key component of the continuous improvement assessment process is regularly following up on [your assessment plan](#). Please review your plan and select one-third of your unit goals, along with related desired outcomes and objectives to report on the progress made.

Selected Goal

Copy/Paste or enter the goal(s) from your unit plan that you wish to highlight and summarize.

Adhere to SUNY Potsdam, state and federal regulations as it relates to maintaining and securing educational records.

Desired Outcomes/Objectives

Copy/Paste or enter the desired outcomes and objectives connected to your selected goal that you will be reporting on.

2A. Maintain student educational records with appropriate sensitivity to privacy concerns and confidentially laws governing these records.

2B. Reduction in reported FERPA violations.

Related Targets/Measures

Copy/Paste or enter the target desired outcomes and objectives connected to your selected goal that you will be reporting on.

2A1. **Method-** Review of assignment of FERPA training in BizLibrary to ensure that all faculty and staff are assigned the FERPA training.

Method- Attend New faculty/staff orientation to provide presentation on FERPA compliance.

Target- 100% completion of FERPA training for all faculty/staff.

2A2/2B1. **Method-** Email helpful hint/FERPA policy section monthly to teaching faculty.

Method- Attach FERPA reminder to semesterly grading email.

Target- 100% compliance with monthly reminders and policy updates.

2B2. **Method-** Begin investigation of potential FERPA violation within 48 hours of notification.

Method- Notify Provost faculty/staff member suspected of violation and their supervisor within 48 hours.

Method- Complete investigation within 2 weeks of violation being reported.

Target- 100% compliance with reporting and investigation timelines.

Target- Less than 3 FERPA violations per academic year.

Describe the progress made toward the selected goal and the related desired outcomes and objectives. Be sure to include steps taken and any information/data collected and results.

2A1 Consulted with HR and confirmed that we have 808 employees, and all have been assigned the module. Prior to this academic year, physical plant had not been required to complete the FERPA module. However, upon review of FERPA violations, it was decided that all faculty and staff, regardless of role, would benefit from the information provided in the module. As of July 2023, 656 employees have completed the module and 152 are yet to complete the module. This is 81% of all faculty/staff, which is well shy of the target of 100% completion.

The registrar also presented to the various office staffs and at the new faculty/staff orientation as planned. Both trainings included an overview of FERPA, the importance of compliance, reporting suspected violations and a period for faculty/staff to get questions answered.

2A2/2B1 4 bullet points regarding grading concerns and FERPA have been added to the grade distribution emails that go out every semester (4x/year: Fall, Winter, Spring Summer). Here is a sample:

DO NOT put papers, graded exams books, or lab reports containing student names and grades in publicly accessible places. Students are not to have access to the scores and grades of others in class in ways that allow other students to be identified.

DO NOT share information from student educational records, including grades or grade point averages, with parents or others outside the institution, including in letters of recommendation, without written permission from the student.

Monthly email reminders have not been sent to faculty as consistently as was intended. Specifically, only one email out of the 6 months being assessed included a FERPA reminder.

2B2

Since submission of the plan to July 2023, there have been 6 reported FERPA violations which is double the target of 3. All violations reported per procedure within 24 hours of notification to the registrar's office which is within the target goal of 48 hours for supervisors and two weeks for federal reporting.

Based on the assessment data and information shared above, what planned actions were or will be taken as a result?

2A1

In hindsight, the goal of 100% is more ambitious than initially realized as much of the compliance is outside of the control of the registrar. For example, the registrar is not notified of late or incomplete modules. The HR policy requires that supervisors, employees and President's Council members are notified of non-compliant employees. By December 2023, the Registrar's Office will confirm the number of incompletes and submit a recommendation to management to ensure that all employees complete this by the required due date.

2A2/2B1

Analysis of the shortcoming indicated that although select groups were targeted, presented to, and given information, it was not shared globally. As a result, the registrar's calendar has been updated to include a reminder to send a brief FERPA reminder to the Provost to include in their next regular newsletter.

2B2

The results indicated that we are meeting our target for reporting of FERPA violations. However, even though only ½ of the year was assessed, we are double the number of FERPA violations than our target was set to. Analysis of the types of violations that occurred showed that all 6 violations were due to copying the wrong student on an email that contained PII/FERPA protected information and three of the six were grade change requests. As a result, the registrar's office has contacted Alex Gomez who creates Microsoft Flow forms for our office so that we can create a flow for grade changes. By doing this, we will not be including the student in the process and thus reducing the potential FERPA violation.

SECTION 2: ADDITIONAL ASSESSMENT ACTIVITY

Please use this space to share an example from this past year when you used assessment and data to plan and/or take action. Be sure to include any available information relating to the results and impact. Your example for this section does not need to be directly tied to your previously submitted administrative unit assessment plan.

Effective December 2023, our current diploma processing product, Diplomas on Demand (DoD), will be at the product end-of-life and no longer available to SUNY Potsdam. SUNY does not have an executed new master agreement for diploma processing currently. An analysis was done to determine the best path forward for diploma processing.

The Registrar's Office produces approximately 700 diplomas per year at a cost of \$18.79 each (with labor). Additional notable costs not factored in include the diploma printer, fax machine, and phone charges (by staff to clarify requests).

Relevant SUNY policy was reviewed for guidance, specifically the following SUNY Policy Apply per SUNY Document Number 1201: Standard Diploma Format.

The following SUNY Policy Apply per SUNY Document Number 7804: Fees, Rentals, and Other Charges.

Additionally, the current fee structure was reviewed. Presently, the registrar requests that the Student Government Association (SGA) helps support the cost of undergraduate diploma processing. For the 2022-2023 academic year, SGA contributed \$2975. Additionally, graduate students are charged a one-time \$3 diploma fee. For the academic year 2022-2023 there were 171 new matriculated graduate students (Fall 2022-117 and Spring 2023-54), therefore \$513 was generated toward diplomas. In summary, the institution gained \$3,488 in revenue to offset the diploma processing costs during the 2022-2023 academic year.

Several vendors were considered in addition to the option of printing in-house rather than outsourcing to a vendor. A cost/benefit analysis was done to review the pros and cons of each option and it was decided that outsourcing was the option that provided us with the most flexibility for printing, mailing and providing electronic diplomas for our students. The vendor has been selected as a result of the analysis and has been put forth to appropriate campus constituents for consideration.

