Federal Compliance Filing by Institutions
Effective September 1, 2019–August 31, 2020

Institutions should answer the questions below. The Federal Compliance Overview provides information about the applicable HLC policies and provides an explanation of each requirement.

Note that some federal requirements are related to and accounted for in the Criteria for Accreditation or Assumed Practices. Those related Criteria and Assumed Practices have been identified for cross-referencing purposes. Cross-references are also provided to the Code of Federal Regulations. Because HLC may, in some cases, require more of its institutions than the federal regulations, it is important that institutions write to HLC’s requirements to ensure their compliance not only with the federal regulations but with HLC’s expectations. Lastly, although cross-references to the Code of Federal Regulations are provided here, an institution is always responsible to ensure that it is familiar with the full and current text of those regulations, as they may from time to time be updated.

Submission Instructions
This form and any required appendices should be uploaded to the Assurance System no later than the institution’s lock date, unless otherwise noted. Instructions for uploading the documents are provided in the Assurance System. The necessary supporting documentation should be directly responsive to specific documentation requested. While there is no minimum expectation with respect to length, the completed Federal Compliance worksheet, including all appendices, should not exceed 250 pages.

Institution name: Southeast Missouri State University

1. Assignment of Credits, Program Length and Tuition

Provide web addresses to the following:

- Policy (or set of policies) and procedures for assignment of Credit Hour for all types of courses, disciplines, programs, credential levels, formats, regardless of modality.

- Course or program credit assignment procedures. (Note: The Federal Compliance reviewer will contact the institution’s Accreditation Liaison Officer after the Federal Compliance materials are received to request a sample of course and program materials. The purpose of the representative
A sample of materials is to enable the Federal Compliance reviewer to make a preliminary determination as to whether an institution adheres to its Credit Hour policy.

Provide the web address to relevant policy/policies:

Link: Faculty Handbook, Chapter 5, Student Credit Hour Definition
https://semo.edu/facultysenate/handbook/5a.html

Provide the web address to relevant procedure(s):

Link: Course: https://semo.edu/provost/pdf/Course-Approval-Change.pdf [file attached] See p. 1, points 11 and 12 for calculating credit hours and the explanation for points 11 and 12 on p. 3.

The course approval process is detailed here: https://semo.edu/provost/curriculum/course-approval-procedures.html

Program: The Program approval process uses the Missouri Department of Higher Education (MDHE) Program Proposal form. This form clearly indicates that credit hours are set during the course approval process. See: https://semo.edu/provost/curriculum/program-approval-process.html, New Program, point 1 to access the MDHE New Program Proposal for Routine Review form.

Describe the process the institution utilizes to verify length of academic period and compliance with credit hour requirements through course scheduling.

The course credit hour determination and approval/revision process is managed by the academic department, the college, the Graduate Council (as appropriate), the Academic Council and the Provost’s Office. Once approved, courses are entered by the Registrar’s Office into the master catalog which carries into the master schedule. As the schedule for each semester is built, the course credit hours carry forward from the catalog to the semester class schedule.

The department chairperson, in conjunction with faculty and the administrative assistant, create a schedule of all classes being offered by the department. Each semester’s class schedule is entered into Banner, Southeast’s institutional information platform, by either the administrative assistant or the chairperson. After the course information is entered, it is the responsibility of the department chairperson to ensure its accuracy. Number of credit hours, instructor names, times and days of class meetings, room assignments associated with each section of each course, maximum enrollments, and other information are verified by the department chairperson before the course schedule is published for students’ view. If errors are found, either the department chairperson or the administrative assistant makes corrections. Course offerings become visible to students in early February for fall semester, early October for spring semester and late January for the summer semester.

The program approval process begins with academic department faculty preparing the Missouri Department of Higher Education (MDHE) New Program Proposal for Routine Review form. The department reviews the form and if approved, it moves forward to the appropriate college council. With college council and dean approval, the proposal moves to the Graduate Council if applicable. All program proposals then move to Academic Council. With Academic Council endorsement, the proposal goes to the provost. With provost approval, the proposal moves to the president for presentation to the Southeast Missouri State University Board of Regents. With board approval, the proposal is submitted to the MDHE Coordinating Board for Higher Education (CBHE) review and approval. Once approved by CBHE, the new program is officially approved. The provost notifies the dean, department chairperson, registrar and director of institutional research.
Students, advisors and others use degree maps for course requirements for each major. Degree maps include credit hours by course and by semester.

For more information see Federal Requirements 34 CFR §§602.16(a)(viii), 602.24(f), 600.2, and 668.8(k) and (l).


2. Institutional Records of Student Complaints

Provide the web address to the institution’s complaint policy.

Link: http://www.semo.edu/dean/appeals/

Distance learners can also submit complaints here: https://semo.edu/online/student-resources/stateauth.html (see: Complaint Process)

Provide the web address to the institution’s complaint procedure.

Link: Complaint Intake Form: https://semo.edu/dean/appeals/complaint-resolution.html

For more information see Federal Requirement 34 CFR §§602.16(a)(ix) and 668.43(b).


3. Publication of Transfer Policies

Provide the web address to the institution’s transfer policies.

Link: Admission of Transfer Students: https://semo.edu/bulletin/academic-policies.html#admission-transfer-students

Provide the web address where the public can access a list of institutions with which the institution has established articulation agreements. Note that you do not need to provide the full articulation agreements themselves, only the list of agreements that you make public. This list should include the name and location of the agreement partner, the extent to which the institution accepts credit for courses offered by the partner or offers courses for which credits are accepted by the partner, and any credit limitations.

Link: Scroll to Transfer Articulation Agreements list: https://semo.edu/registrar/transferinfo.html and see the Transfer Course Equivalencies webpage: https://tes.collegesource.com/publicview/TES_publicview01.aspx?rid=1f7d5d36-c901-4196-8575-28ee59bf7f4a&aid=aa59d78-6e6a-4ea3-97c6-9f6102c1c4c0

Provide the web address where current and prospective student can ascertain the institution’s transfer requirements in addition to what will and will not transfer.

Links:

Prospective student transfer information: semo.edu/transfer
Options for finding course transferability: semo.edu/transfercredit

For more information see Federal Requirements 34 CFR §§668.5, 668.8, 668.43(a)(11) and 668.43(a)(12).

Related HLC Requirements: Core Component 2.A and Assumed Practice A.5.D.

4. Practices for Verification of Student Identity

| Does the institution have students enrolled in distance or correspondence courses, as defined in federal definitions? |
| ☑ Yes |
| ☐ No (If no, please move on to Title IV Program Responsibilities) |

How does the institution verify the identity of students enrolled in these courses?

In compliance with federal regulation standards, students receive a unique Southeast Missouri State University username and password that they use to login to the Southeast portal and the learning management system. This username and password are used by all students, including those enrolled in distance or correspondence courses. Students are asked to authenticate their location at the start of each enrollment period through the portal.

Faculty teaching online have access to a variety of proctoring tools provided by University Testing Services, RemoteProctor and others: https://semo.edu/online/student-resources/proctored.html

How does the method of verification make reasonable efforts to protect student privacy?

All Southeast employees follow the FERPA (Family Educational Rights and Privacy Act) guidelines and confidentiality provisions to protect student information. This is shared with current and prospective students on the Consumer Information webpage: https://semo.edu/consumerinfo/general-info.html.

Access to student information and student services is managed and protected through campus password management policies. Once a student is admitted to the University, they are assigned a Southeast ID by the Office of Admissions. The student can activate their Southeast account through an online process by providing this Southeast ID and their date of birth. Their Southeast account is protected by a Southeast Key which serves as their login username and an associated password. Students set their password when they activate their Southeast account. The Password Management policy is available online at https://semo.edu/pdf/FinAdm_10-07_Policy [file attached]. Passwords are hashed and synced in Active Directory and Banner LDAP (Lightweight Directory Access Protocol), both of which control access to student email, the learning management system, the campus portal and other campus services. Passwords are not recoverable. If a student cannot remember their password, they can set a new password through a two-factor authentication process using their Southeast Key, date of birth and a trusted service (phone or alternative email). If a student cannot use the two-factor authentication process, they must provide a picture form of identification in order to have their password reset.

Faculty and staff access to student information is protected by role management security. Roles determine what student information faculty and staff can access and are based on job...
responsibilities. Each year, the Department of Information Technology provides a report to business units listing current staff roles to ensure appropriate access is maintained.

Other information technology security policies regarding data protection can be found in section 10 of the campus Business Policy and Procedures, [https://semo.edu/finadm/procedures/index.html](https://semo.edu/finadm/procedures/index.html) (scroll to 10--Information Technology).

Are there any additional costs (e.g., fees associated with test proctoring) charged directly to the student because of this method?

- Yes
- No

If yes, how are the additional costs disclosed to students prior to enrollment in a distance or correspondence course?

Additional cost information is freely available on Southeast's website. Course schedule listing for individual courses also includes information about fees for test proctoring. Instructors advise the students about additional costs when talking about tests and proctoring. It is also common for academic advisors to share this information with students.

Southeast information technology staff recently added a general notification of special fees, including test proctoring, that is presented to students on the portal during the enrollment process each semester.

Provide the web address where the public can access information regarding the additional costs.

Link: [https://semo.edu/online/student-resources/proctored.html](https://semo.edu/online/student-resources/proctored.html)

For more information see Federal Requirement 34 CFR §602.17(g).

Related HLC Requirement: Core Component 2.A.

5. Title IV Program Responsibilities

*Institutions that do not receive Title IV funding should skip this section and go to item 6, Publication of Student Outcome Data.*

This requirement has several components the institution must address. The institution staff compiling this information should work with the financial aid office and the chief financial officer or comptroller. For more information see Federal Requirement 34 CFR §602.16(a)(1)(x).

**General Program Responsibilities**

a. What is the current status of the institution’s Title IV program (e.g., recertified on date x, provisionally certified on date x, etc.)?

Recertified on September 18, 2017
b. When was the institution’s most recent Title IV program review?

Date: July 17-19, 2018

c. Has the institution been audited or inspected by the Office of the Inspector General of the U.S. Department of Education since the last comprehensive evaluation by HLC?

☐ Yes
☒ No

Provide the most recent Title IV program review, or other inspection or audit report since the last comprehensive evaluation by HLC, as Appendix A.

d. List any limitation, suspension or termination actions imposed on the institution by the U.S. Department of Education (hereafter referred to as “the Department”) since the last comprehensive evaluation by HLC and the reason for such actions. (Use N/A for not applicable.)

N/A

e. List any fines, letters of credit or heightened cash monitoring imposed on the institution by the Department since the last comprehensive evaluation by HLC and the reason for such actions. (Use N/A for not applicable.)

N/A

f. What response and corrective actions have the institution taken in regard to these Department actions? (Use N/A for not applicable.)

N/A

g. What are the consequences of these actions by the Department for the institution’s short- and long-term financial health? (Use N/A for not applicable.)

N/A

h. What are the findings from the OMB Circular A-133 portion of the institution’s three most recent audited financial statements, which identifies material weaknesses in the processing of financial aid?

1. 2018 /

Finding 1: The University must return funds for federal direct student loans and report the reduction in Pell grant funding to the Common Origination & Disbursement (COD) system within 45 days for students who have withdrawn from the University and for whom a completed return calculation indicated that a return of and reduction in funding was required. Based on a review of a sample of students, one instance was noted in which the reduction in funding was not communicated to the COD system within the 45 day requirement as required by 34 CFR 668.22 (j)(1).

Finding 2: The University must notify recipients of loans or TEACH grants no earlier than 30 days before and no later than seven days after crediting the student’s ledger account at the
institution as required by 34 CFR 668.165(a)(3). Based on a review of a sample of students, one instance was noted in which the student was notified ten days after the funds were credited to the student’s ledger account.

2. 2017 / No Findings

3. 2016 / Finding 1: The University must return funds for federal direct student loans and report the reduction in Pell grant funding to the Common Origination & Disbursement (COD) system within 45 days for students who have withdrawn from the University and for whom a completed return calculation indicated that a return of and reduction in funding was required. Based on a review of a sample of students, one instance was noted in which the reduction in funding was not communicated to the COD system within the 45 day requirement as required by 34 CFR 668.22 (j)(1).

i. In which of the following Title IV federal financial aid programs does the institution participate? Select all that apply:

- [x] Pell Grant
- [x] Federal Family Education Loan
- [x] Federal Direct Stafford Loan
- [x] Direct PLUS Loan
- [x] Federal Supplemental Educational Opportunity Grant
- [x] Federal Work Study
- [x] Perkins Loans
- [x] Academic Competitiveness Grant

Provide action letters issued by the Department that explain its rationale for any actions described in D, E and H (if applicable) and provide any reports issued by the institution, if available, demonstrating improvement as Appendix B.

For more information see Federal Requirement 34 CFR §668.16.

Financial Responsibility Requirements

a. What were the outcomes of the three most recent Department reviews of the institution’s composite ratios and financial audits?

1. March 2019 / 2018 Audit closed; no further action required
2. March 2018 / 2017 No audit findings; no report issued by the Department of Education
3. March 2017 / 2016 Audit closed; no further action required
b. Have there been any fines, penalties, letters of credit or other requirements imposed by the Department as a result of these reviews?

☐ Yes
☒ No

Note: HLC also annually analyzes each institution’s financial ratios to determine whether there might be financial concerns. The peer review team checks with the institution and the HLC staff to determine whether HLC or the Department has previously raised concerns about the institution’s finances based on these ratios.

c. What actions has the institution taken or does it plan to take in response to any concerns raised by HLC or the Department? Please insert narrative below. (Use N/A for not applicable.)

N/A

Provide any action letters issued by the Department that explain its rationale for any actions it may have taken (if applicable) and evidence of institutional improvement as Appendix C.

For more information see Federal Requirements 34 CFR §§668.15, 668.23, 668.171, 668.173, and 668.174.

Related HLC Requirements: Core Components 5.A, 2.B; Assumed Practice D.

Campus Crime Information, Athletic Participation and Financial Aid, and Related Disclosures

Title IV responsibilities include the legal obligation to disclose information to students and to the public about campus crime, athletic participation and financial aid.

a. What administrator or office on campus is responsible for ensuring that these disclosures are regularly compiled and published and that the data are accurate?

Department of Public Safety, Athletics Department and Student Financial Services

b. Has the institution been the subject of any federal investigation related to any of the required disclosures for Title IV responsibilities?

☐ Yes
☒ No

If yes, does the institution have any findings from the Department regarding these disclosures?

☐ Yes
☐ No

If yes, explain any findings related to any of the required disclosures for Title IV and corrective action plans the institution may have to remedy the findings.
c. Provide the web address where this information is made available to the public.

Link: 2019 Daily Crime Log [file attached]  
Campus Crime information: Clery Report [file attached]

Note 1: The 2018 data will be released the week of September 23-28, 2019.  
Note 2: The Clery Report includes statistics for the Malden Campus, which closed May 2018.  
Athletic Program Participation & Financial Support [file attached]

For more information see Federal Requirements 34 CFR §§668.41, 668.42, 668.43, 668.44, 668.46, and 668.49.

**Student Right to Know/Equity in Athletics**

Title IV responsibilities require that institutions provide to students and the public graduation/completion rates for the student body by gender, ethnicity, receipt of Pell grants and other data as well as information about the process for withdrawing as a student, cost of attendance, policies on refund and return of Title IV financial aid, current academic programs and faculty, names of applicable accrediting agencies, description of facilities for disabled students, and the institution’s policy on enrollment in study abroad. In addition, certain institutions need to disclose their transfer-out rate. Also, institutions with athletic programs are required to disclose athletic participation rates and financial support data.

a. What administrator or office on campus is responsible for ensuring that these disclosures are regularly compiled and published and that the data are accurate?

   Student Financial Services, Registrar’s Office

b. Has the institution been the subject of any federal investigation related to any of the required disclosures for Student Right to Know/Equity in Athletics?

   ☑ No

   If yes, does the institution have any findings from the Department regarding these disclosures?

   ☑ No
If yes, explain any findings related to any of the required disclosures for Student Right to Know/Equity in Athletics and corrective action plans the institution may have to remedy the findings.

N/A

c. Provide the web address where this information is made available to the public.

Link: Graduation & Retention
https://app.powerbi.com/view?r=eyJrIjoiZDc3ZjFhZWQtMDc1Mi00Zjk0LWE5YmYtYWNgOGI0ZjFmZWM1IiwidCI6IjE5ZDU3NTk4LTk3YjAtNDQyYy1iNzRlMTWkM1JTc1In0&uiversion=v1.1&esrc=sh&source=web&moderated=false

General Student Information https://semo.edu/consumerinfo/general-info.html

Withdraw Process https://semo.edu/registrar/withdrawal-process.html

Withdrawals & Course Refund Timelines https://semo.edu/sfs/refunds.html

Estimated Annual Cost of Attendance https://semo.edu/admissions/affordability.html

Refund of Credit Balances on Student Accounts https://semo.edu/sfs/balances.html

Academic Major https://semo.edu/study/ (Degree, College and Location facets on left allow narrowing of search)

Faculty lists can be found through the academic Department webpages:
https://semo.edu/facstaff/academicunits.html

Example department faculty webpages / one from each College:

Department of Chemistry & Physics https://semo.edu/chemistry-physics/faculty/index.html

Department of English https://semo.edu/english/faculty/index.html

Department of Management https://semo.edu/management/faculty/index.html

Department of Music https://semo.edu/music/faculty/index.html

Department of Nursing https://semo.edu/nursing/faculty/index.html

Disability Services https://semo.edu/ds/

Study Abroad https://semo.edu/studyabroad/index.html

For more information see Federal Requirements 34 CFR §§668.41, 668.45, 668.48, and 668.8.


Satisfactory Academic Progress Policy

The institution is required to have a Satisfactory Academic Progress policy for determining whether an otherwise eligible student is making satisfactory academic progress in his or her educational program and may receive assistance under Title IV, HEA programs.
a. Is such a policy readily available to students?

☐ Yes
☐ No

b. Does it satisfy federal requirements?

☐ Yes
☐ No

c. Does the institution have any findings from the Department regarding this policy?

☐ Yes
☐ No

If yes, explain any findings related to any of the required disclosures for Satisfactory Academic Progress and corrective actions that may have been required by the Department related to these findings.

N/A

d. Provide the web address where this information is made available to the public.

Link: Satisfactory Academic Progress [https://semo.edu/sfs/financialaid/progress](https://semo.edu/sfs/financialaid/progress)

For more information see Federal Requirement 34 CFR §668.34.

*Related HLC Requirements: Criterion 3.A; Assumed Practice A.5.*

6. Publication of Student Outcome Data

Student outcome data, as defined in federal definitions, should be made available to the public through the institution’s website—for instance, linked to 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 should be clearly labeled as such. Any technical terms in the data should be defined, and any necessary information on the method used to compile the data should be included. Data may be provided at the institutional or department level or both, but the institution must disclose student outcome data that address the broad variety of its programs, (both undergraduate and graduate, as applicable) including outcome data from each program level.

Are student outcome data published on the institution’s website following the specifications above?

☐ Yes
☐ No
Provide a link to the webpage(s) that contains the student outcome data.

Link(s): Satisfactory Academic Progress [https://semo.edu/consumerinfo/student-outcomes.html](https://semo.edu/consumerinfo/student-outcomes.html)

Link: Student Outcomes, Professional Licensure and Student Outcomes After Graduation [https://semo.edu/ir/pdf/StudentOutcomes-for-HLC-07312019.pdf](https://semo.edu/ir/pdf/StudentOutcomes-for-HLC-07312019.pdf) [file attached]


- Enrollment and Persistence, pages 3-4 [file attached]
- Retention Rates, page 6 [file attached]
- Degrees Conferred, page 27 [file attached]

For more information see Federal Requirement 34 CFR §602.16(a)(1)(i).


### 7. Standing With State and Other Accrediting Agencies

List any relationships the institution has with any specialized, professional or institutional accreditor or with any governing or coordinating bodies in states in which the institution has a presence. Note whether the institution or any of its programs is on a sanction, is provisionally approved or has lost status with any state agency or accrediting body.

**Earl & Margie Holland College of Arts & Media**

- Accrediting Council for Education in Journalism and Mass Communications
- Certificate in Education for Public Relations (Public Relations Society of America) (Certification)
- Council for Interior Design Accreditation
- National Association of Schools of Art and Design
- National Association of Schools of Dance
- National Association of Schools of Music
- National Association of Schools of Theatre

**Donald L. Harrison College of Business & Computing**

- AACSB International
- ABET - Computing Accreditation Commission (CAC) for Computer Science
- Commission on Sport Management Accreditation (MBA in Sports Management)
- National Security Agency - National Center for Academic Excellence for Cyber Defense Education (NSA - CAE-CDE)
• Network of International Business Schools

**College of Education, Health & Human Studies**

• Accreditation Council for Education in Nutrition and Dietetics
• Association of Play Therapy (Designated Approved Center of Play Therapy Education Program)
• Commission on Accreditation of Athletic Training Education
• Commission on Collegiate Nursing Education
• Commission on Sport Management Accreditation (undergraduate Sports Management)
• Council for the Accreditation of Counseling and Related Educational Programs
• Council for the Accreditation of Educator Preparation (Formerly NCATE – National Council for the Accreditation of Teacher Education)
• Council on Academic Accreditation in Audiology and Speech Language Pathology
• Council on Accreditation of Parks, Recreation, Tourism, and Related Professions
• National Council on Family Relations/Certified Family Life Educator

**College of Humanities & Social Sciences**

• Council on Social Work Education

**College of Science, Technology, Engineering, & Mathematics**

• ABET - Engineering Accreditation Commission (EAC) for Engineering Physics
• ABET - Engineering Technology Accreditation Commission (ETAC) for Engineering Technology
• American Chemical Society (Certification)
• Association of Technology, Management, and Applied Engineering

**Dual Credit**

• The National Alliance of Concurrent Enrollment Partnerships

**University School for Young Children**

• National Association for the Education of Young Children

**Southeast Online** at Southeast Missouri State University participates in the State Authorization Reciprocity Agreement (SARA). Missouri is a SARA member state.

Provide the web address where students and the public can find information about the institution’s standing with state agencies and accrediting bodies.

Link: [https://semo.edu/provost/accreditations-for-academic-programs.html](https://semo.edu/provost/accreditations-for-academic-programs.html)
For more information see Federal Requirements 34 CFR §§602.28, 668.41 and 668.43.


List of Appendices

Please read each section of this document carefully for instructions on the information and material to be included in these appendices.

Title IV Program Responsibilities

Appendix A......... General program responsibilities: Most recent program review or other inspection or audit reports since last comprehensive evaluation.

Appendix B......... General program responsibilities: Action letters issued by the Department that explain its rationale for any Department actions any reports issued by the institution, if available, demonstrating improvement.

Appendix C ......... Financial responsibility requirements: Action letters issued by the Department that explain its rationale for any actions it may have taken (if applicable) and evidence of institutional improvement.