AUDIT REPORT

TO: Dr. David Shelledy, Dean of School of Health Professions
FROM: Ms. Angela D’Anna, Chief Audit Executive, Internal Audit and Consulting Services
DATE: October 2, 2014
SUBJECT: Enrollment Management Process: School of Health Professions – Emergency Health Sciences and Respiratory Care Programs (14-09)

EXECUTIVE SUMMARY

Internal Audit and Consulting Services has reviewed the enrollment management process of the Emergency Health Sciences and Respiratory Care programs within the School of Health Professions at UT Health Science Center San Antonio. The major objectives of the audit were to:

- Determine whether students were eligible for enrollment prior to admission.
- Ascertain whether degrees and certificates were awarded in accordance with established program requirements.
- Evaluate utilization of feedback tools to continuously improve the academic programs.

In general, the internal controls surrounding the enrollment management process for Emergency Health Sciences and Respiratory Care were in place to ensure compliance with the requirements of the academic programs. Certain opportunities for enhancements were noted as attached. This audit identified no issues considered priority to the institution.

DETAILED REPORT

Attached is the detailed internal audit report.

AUDIT TEAM

Dora Ann Verde, Senior Internal Audit Manager
Esther Villarreal, Intermediate Internal Auditor

AUDITING STANDARDS

This audit was conducted in conformance with the International Standards for the Professional Practice of Internal Auditing.

DISTRIBUTION

Mr. Michael Black, Senior Executive VP and Chief Operating Officer
Ms. Donna Gardner, Chair of Respiratory Care
Ms. Blanca Guerra, Registrar
Dr. Raymond Greenberg, Executive Vice Chancellor for Health Affairs, UT System
Dr. William Henrich, President
Dr. David Henzi, Interim Associate Dean for Academic and Student Affairs
Ms. Kristy MacPhail, Associate Dean of Finance, School of Health Professions
Dr. Jacqueline Lee Mok, Vice President for Academic, Faculty and Students Affairs
Mr. Michael Peppers, Chief Audit Executive, UT System
Dr. Lance Villers, Chair of Emergency Health Sciences
DETAILED AUDIT REPORT

PURPOSE AND SCOPE

Internal Audit and Consulting Services has reviewed the enrollment management process of the Emergency Health Sciences and Respiratory Care programs within the School of Health Professions at UT Health Science Center San Antonio (UTHSCSA). The programs included in our review were:

Emergency Health Sciences Programs:
- Bachelor of Science in Emergency Health Sciences
- Emergency Medical Technician (EMT) Paramedic Certificate
- Advanced EMT Paramedic
- EMT Basic Certificate

Respiratory Care Programs:
- Bachelor of Science in Respiratory Care
- Degree Completion option for a Registered Respiratory Therapist to earn the Bachelor of Science in Respiratory Care

The major objectives of the audit were to:
- Determine whether students were eligible for enrollment prior to admission.
- Ascertain whether degrees and certificates were awarded in accordance with established program requirements.
- Evaluate utilization of feedback tools to continuously improve the academic programs.

We examined a representative sample of twenty-one (21) enrollments for Spring 2014 and fourteen (14) degrees and certificates awarded for the 2012–2013 academic year as reported to the state by the Office of Institutional Research.

BACKGROUND

Enrollment management encompasses a systematic set of activities designed to enable educational institutions to exert more influence over student recruitment, retention and graduation. Strategic enrollment management strives to reach beyond the status quo by providing, through inspirational participatory governance, a commitment to long-range planning in order to grow the academic programs. The design and accountability for enrollment management at the Health Science Center (HSC) is presented below.

UT HEALTH SCIENCE CENTER ENROLLMENT MANAGEMENT
SCHOOL OF HEALTH PROFESSIONS

See Appendix A for details regarding the Emergency Health Sciences and Respiratory Care programs, enrollments, degrees and certificates.
RESULTS

In general, the internal controls surrounding the enrollment management process for Emergency Health Sciences and Respiratory Care were in place to ensure compliance with the requirements of the academic programs. Certain opportunities for enhancements were noted as attached.

This audit identified no issues considered priority to the institution. According to Exhibit A of UT System Policy 129 – Internal Audit Activities, a priority audit issue is one that is material to the operation, financial reporting, or legal compliance of the institution.

Attached are the audit recommendations, management action plans, responsible parties, and anticipated completion dates. These matters are offered for management’s consideration in the spirit of continuously improving processes and reducing risks in the organization.
Enrollment Cycle

Opportunity for Improvement:

A vacancy in academic management at the Associate Dean level and the reorganization of the Admissions Office at the School of Health Professions reduced momentum toward continuous improvement. Of the twenty-one (21) enrollments reviewed, we noted the following:

- **Registration:** Five (5) instances were noted where Add/Drop forms were used instead of the Student Administration portal to enroll students in their first semester. Of these, four (4) were not approved by an Associate Dean as required. It should be noted that an individual did not hold the Associate Dean title during the period under review and that this responsibility had not been formally delegated. The Catalog section *Registration Policy on Adding/Dropping Courses* requires that students use the Student Administration portal during the official web registration period and that if an Add/Drop form is used, all necessary signatures must be obtained.

- **Application Submissions:** The Bachelor of Emergency Health Sciences program application deadline, as published in recruitment materials, was extended from November 1 to November 15 for two (2) applicants. Additionally, an application was deferred to the next academic year because the applicant did not meet Respiratory Care enrollment criteria. This applicant was not required to reapply as necessary. These practices may result in the inconsistent treatment of applicants, including the application fees assessed. The *University Admission Policy* found in the Catalog states that under no circumstances will applications be transferred electronically from one term to the next, or will new, added or increased application fees be waived.

- **Information Systems:** Information systems were not updated to reflect available academic programs. Respiratory Care had four (4) options available in the PeopleSoft System; however, only two (2) options were actually offered. The Office of Institutional Research relies on the accuracy of the data contained in PeopleSoft to report academic statistics to the state.

Recommendation:

The responsibilities of the academic Associate Dean and of the School Admissions Office should be formally delegated to the appropriate individuals by the new Dean. Continuous collaboration with the faculty and the Registrar should occur to implement a proactive academic planning cycle. Additionally, utilization of the Student Administration portal should be enforced. Furthermore, changes should include updates to information systems where appropriate.

Management’s Action Plan:

**Responsible Party(s):** Dr. David Shelledy, Dean of School of Health Professions
Dr. David Henzi, Interim Associate Dean for Academic and Student Affairs

**Estimated Completion Date:** Completed

The School of Health Professions has recently consolidated both student and academic affairs dean positions into one position – Associate Dean for Academics and Student Affairs. This individual will better be able to serve the needs of both students and faculty regarding appropriate use of forms as well as scheduled academic planning cycles. This individual will also be responsible for overseeing outreach recruitment activities, enrollment management, and monitoring of technology designed for student administration.

The importance of communication with the Registrar has been one of the recent modifications to planning strategies within the School of Health Professions. Weekly meetings with the Associate Registrar as well
Enrollment Cycle (Cont’d)

Management’s Action Plan (Cont’d):

as monthly meetings with the Registrar began in April, 2014. In addition to these scheduled meetings, faculty and staff from the Emergency Health Sciences Department meet two times a month with the Associate Dean, School of Health Professions’ admissions staff and the Associate Registrar for updates. These bi-monthly meetings will also be scheduled with Respiratory Care admissions officers.

In additional to these previously scheduled meetings with the Associate Registrar and Registrar, monthly meetings will be scheduled with admissions officers from all six programs within the School of Health Professions. The opportunity for all six admissions officers to meet monthly with the Associate Registrar and Registrar will provide consistent oversight of the programs and allow opportunities for increased discussion outside of the meetings if necessary.
Enrollment Eligibility Determination

Opportunity for Improvement:

During our review, we noted the following regarding the 21 enrollments examined:

- **Prerequisite Course Evaluation:** Five of six transcript evaluations for admission to the Respiratory Care program did not have a thorough assessment of the applicants' academic records to help ensure that program prerequisite courses had been completed. Per the Handbook of Operating Procedures (HOP) Policy 2.4.5, Student Services, and the University Admission Policy, the respective Admissions Office within each school has the responsibility for ensuring that school admission requirements and standards for student admission are satisfied. We also noted that two of the five Substitution/Waiver Request forms submitted subsequent to the transcript evaluations were not approved by an Associate Dean. The University Policy on Awarding Academic, Credit, Transfers and Substitutions found in the Catalog requires that substitution requests be signed by the appropriate Associate Dean.

- **Credit for Experiential Learning:** The procedures for granting credit for experiential learning (workforce experience) did not adhere to the HSC procedures and were not consistent among the Emergency Health Sciences and Respiratory Care programs. Requests to award credit were sent directly to the Registrar without supporting documentation and did not include the Dean's approval. Additionally, the Credit by Exam form did not have an option for Experiential Learning or include a signature line for the Dean's approval. The Policy on Awarding Academic Credit, Transfers and Substitutions, found in the Catalog, requires the student to submit the Credit by Exam form and supporting documentation to the department and subsequently, the Chair recommends approval of equivalent course credit to the Dean's Office, and, if approved, notice is sent to the Registrar.

- **Justification for Acceptance of At-Risk Students:** Documentation of justification for the acceptance of two at-risk applicants was not maintained in the official student records. The applicants did not meet enrollment requirements but had been admitted based on consensus by the Academic Advisory Committee of each department as permitted by HSC policy.

Recommendation:

The Associate Dean, School Admissions Office and faculty should collaborate with the Registrar to enhance and formalize the procedures and documents utilized for determining enrollment eligibility. Responsibility and accountability for student transcript evaluations should be formally assigned to a specific individual to ensure program prerequisite courses were completed by the applicants. The documents should be maintained in the official student record to facilitate resolution of student inquiries and coordination of accreditation visits. Specifically:

- The form required for granting credit for Experiential Learning should be revised to ensure consistency and adherence to policy.

- The decisions regarding acceptance of at-risk applicants should be documented to help ensure the consistent treatment of applicants, student performance and program quality.

- Consideration should be given to enhancing the checklists for matriculation (enrollment) and graduation with expanded detail to help departments identify outstanding items, such as workforce experience or prerequisite courses.
Enrollment Eligibility Determination (Cont’d)

Management’s Action Plan:

Responsible Party(s): Dr. David Shelledy, Dean of School of Health Professions  
Dr. David Henzi, Interim Associate Dean for Academic and Student Affairs

Estimated Completion Date: December 1, 2014

The School of Health Professions’ Admissions Office was staffed with only one full time employee from May to August, 2014. The Director of Admissions and Special Programs was recently added to the office as well as the addition of secretarial assistance. The addition of new staff will play an integral role in increasing unofficial transcript evaluations which help identify students as pre-eligible applicants (final approval comes from official transcript review by the Registrar’s office). The SHP Admissions Office will work collaboratively with the department admissions officers to ensure consistency granting Experiential Learning as well as enhancing checklists for matriculation and graduation requirements.

Decisions regarding “at-risk” applicants will be documented within the departments.

The new addition of PTCAS and OTCAS (enrollment management technology) for our Physical Therapy and Occupational Therapy programs will also provide increased oversight of our admissions processes and enhance checklists for matriculation.
Publications and Forms

Opportunity for Improvement:

We noted the following regarding the academic program publications and forms:

- **Marketing Materials:** Certain information in the departmental websites did not align with the information published in the Health Science Center Catalog and School of Health Professions Welcome Center. For example, Respiratory Care had not published an application deadline for entry into the Spring 2014 semester and Emergency Health Sciences application deadlines cited in the department’s Catalog pages did not match departmental Admit Checklists or the School admission’s webpages. The Commission on Accreditation of Allied Health Education Programs, *Standards and Guidelines, Fair Practices, Publications and Disclosure*, requires that announcements, catalogs, publications, and advertising accurately reflect the programs offered.

- **Forms:** The updated version of the Terminal Competency form provided by the accrediting body was not utilized by the Emergency Health Sciences medical director to certify student competence in the didactic, psychomotor and affective domains. Additionally, the updated version of the Add/Drop form was not utilized.

Recommendation:

The School Admissions Office, in coordination with faculty, should update the content of program marketing materials and websites. Additionally, departments should establish procedures to ensure updated forms are used.

Management’s Action Plan:

**Responsible Party(s):** Dr. David Henzi, Interim Associate Dean for Academic and Student Affairs
Dr. Lance Villers, Chair of Emergency Health Sciences
Mrs. Donna Gardner, Chair of Respiratory Care

**Estimated Completion Date:** December 1, 2014

The School of Health Professions is currently recruiting a marketing specialist. This individual will be responsible for all marketing materials developed within the school. The marketing material includes both print and on-line media.

The Director of Admissions and Special Programs has already developed a time line to ensure programmatic forms are updated to reflect changes implemented from one admissions cycle to the next.
APPENDIX A – PROGRAMS, ENROLLMENTS, DEGREES AND CERTIFICATES

The programs of the Emergency Health Sciences included a bachelor degree program that began in 2000 and two certificate programs accredited since 1983. The certificate programs trained students as Emergency Medical Technicians (EMT) and were accredited by the Commission on Accreditation of Allied Health Education Programs. The EMT Basic program was offered for six semester credit hours and was an exit point of the EMT Paramedic program, which was offered for 30 credit hours. The Advanced EMT Paramedic program began in the Fall of 2013 and was offered for 42 credit hours.

The Respiratory Care bachelor degree program, accredited since 1994 by the Commission on Accreditation for Respiratory Care, teaches students to become Registered Respiratory Therapists (RRT) and also educates RRTs with an associate degree to earn a Bachelor of Science degree. Completion of the Respiratory Care bachelor program or either of the two EMT certificate programs enables graduates to sit for the national board certifying examinations.

During the 2012-2013 academic year, the School of Health Professions enrolled 1,250 students and awarded 431 degrees and certificates. Due to the short duration of the EMT programs, a large number of certificates were awarded, thereby partly increasing the total number of degrees and certificates for the School of Health Professions. It should also be noted that certain students that enrolled in an EHS program later were awarded multiple certificates, as well as a degree without re-applying to the other programs, which resulted in not always having a one-to-one relationship between enrollments and degrees and certificates. The enrollments, degrees and certificates for the Health Science Center and the School of Health Professions are summarized below:

<table>
<thead>
<tr>
<th>HSC Schools</th>
<th>2012-2013 HSC Enrollments</th>
<th>2012-2013 HSC Degrees &amp; Certificates</th>
</tr>
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<tbody>
<tr>
<td>School of Health Professions</td>
<td>SHP</td>
<td>GSBS 13%</td>
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<tr>
<td>School of Nursing</td>
<td>SON</td>
<td>SHP 17%</td>
</tr>
<tr>
<td>School of Medicine</td>
<td>SOM</td>
<td>SOD 18%</td>
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<tr>
<td>School of Dentistry</td>
<td>SOD</td>
<td>SOM 25%</td>
</tr>
<tr>
<td>Graduate School of Biomedical Sciences</td>
<td>GSBS</td>
<td>SOM 18%</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>SHP Departments</th>
<th>2012-2013 SHP Enrollments</th>
<th>2012-2013 SHP Degrees &amp; Certificates</th>
</tr>
</thead>
<tbody>
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<td>Emergency Health Sciences</td>
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<td>DT 1%</td>
</tr>
<tr>
<td>Physical Therapy</td>
<td>PT</td>
<td>EHS 16%</td>
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<tr>
<td>Clinical Lab Sciences</td>
<td>CLS</td>
<td>CLS 7%</td>
</tr>
<tr>
<td>Occupational Therapy</td>
<td>OT</td>
<td>OT 22%</td>
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<tr>
<td>Physician Assistant Studies</td>
<td>PAS</td>
<td>PAS 18%</td>
</tr>
<tr>
<td>Respiratory Care</td>
<td>RC</td>
<td>RC 14%</td>
</tr>
<tr>
<td>Dietetics</td>
<td>DT</td>
<td>EHS 32%</td>
</tr>
</tbody>
</table>