ANNUAL INSTITUTIONAL
UPDATE (AIU)
FREQUENTLY ASKED QUESTIONS
(FAQ)

2023.05

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Which year's data should be reported in the Annual Institutional Update?

Because MSCHE is importing most of the data from the Integrated Postsecondary Education Data System (IPEDS), the Annual Institutional Update (AIU) data will follow the reporting years used by IPEDS that are publicly available each April.

Section	Subsection	Source Year
General Information	General Information	Academic year 2021-22
	Catalog	Most Recent Catalog Available
Enrollment[2]	Fall Enrollment Headcounts	Academic year 2021-22
	Fall Enrollment Race-Ethnicity Percentages	Academic year 2021-22
	Fall Enrollment Age Percentages	Academic year 2021-22
	12-Month Enrollment	July 1, 2020 – June 30, 2021
	Distance Education Headcounts[1]	Academic year 2021-22
	Programs Offered	July 1, 2020 – June 30, 2021
Student Achievement	Retention Rates	Academic year 2021-22
	First-Time Full-Time Enrollment	Academic year 2021-22
	Graduation Rates 150%	Status of student as of August 31, 2021
	Graduation Rates 200%	Status of student as of August 31, 2021
	Graduation Rate by Gender	Status of student as of August 31, 2021
	Graduation Rate by Race / Ethnicity	Status of student as of August 31, 2021
Finance – IPEDS Source Year	General	Fiscal year 2020-21
	Financial Results	Fiscal year 2020-21
	Education and General Expenses	Fiscal year 2020-21
Finance – Most Recent	General	Most Recent Audited Financial Statement
	Financial Results	Most Recent Audited Financial Statement
	Education and General Expenses	Most Recent Audited Financial Statement
Finance – For Dues	Total Expenses and Deductions	Fiscal year 2020-21
Uploads	Most Recent Financial Audit Metrics	Most Recent Audited Financial Statement
	Financial Documents to Upload	Most Recent Audited Financial Statement

[1] With the exception of "Programs Offered via distance education," for which institutions should report data from July 1, 2020 - June 30, 2021.

[2] With the following exceptions:
- "Percent FT-FT receiving Pell" and "Percent of all undergrads receiving Pell," for which institutions should report data from July 1, 2020 - June 30, 2021.
- "Default Rate" is populated by data from College Scorecard "MERGED2020_21_PP.csv" datafile

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What is the Annual Institutional Update (AIU), and why is it required?

The AIU is the mechanism for ongoing monitoring used by the Commission as required by federal regulation and by Commission policies and procedures. During this process, institutions submit and verify key data indicators and upload required documents on an annual basis.

Who is primarily responsible for ensuring the completion of the AIU?

In accordance with the *Accreditation Liaison Officer (ALO) Roles and Responsibilities Guideline*, the ALO serves as a key resource to ensure the timely and accurate submission of the AIU.

Where do I access the AIU?

The AIU can be accessed through your institution's portal. Log in to your portal page and select the Annual Update tab.

Who has access?

The institution's Key Contacts have access to your institution's portal. These are the President/Chief Executive Officer (CEO), Chief Academic Officer (CAO), Chief Financial Officer (CFO), Accreditation Liaison Officer (ALO) and the Portal Delegate.

How do I get access?

Key Contacts can grant access to one other individual to be designated as the "Portal Delegate."

Who receives emails about the AIU?

All communications regarding the AIU are sent to the four Key Contacts (CEO, CAO, CFO, and ALO) and Portal Delegate. If these individuals are not receiving the AIU email communications, one of the key contacts should verify all Key Contacts are correct in the Institution Portal. If the Key Contacts are correct in the Institution Portal, but they are not receiving MSCHE communications, contact support@msche.org for assistance.

What will Commission representatives see from my AIU submission?

The AIU page, visible on the Institution Portal, is *only* visible to the institution. Commission representatives do not actually see the Institution's Portal or the institution's AIU page.

AIU materials are made available to Commission representatives, which includes staff, peer evaluators, and Commissioners. The Commission will determine how best to make the results of the annual analysis of the AIU available to institutions and Commission representatives. A supplemental information report (SIR) will be requested from an institution as a result of the annual analysis where a concern is indicated.

Is the AIU required?

Yes, the AIU is required as reflected in Commission policy and procedures.

It is critical for institutions to complete the AIU on time. Immediate additional reporting will be required for any institution that does not complete the AIU.

Are institutions exempt from the AIU during other accreditation activities?

No, institutions are not exempt from the AIU during other accreditation activities. For institutions currently in self-study or follow-up, the AIU is still required. The AIU is required every year for each candidate and accredited institution.

Who should be involved in identifying and gathering the AIU information?

The AIU is not only a collection of data fields, but it is an annual collection of key performance metrics and contextual information that will be viewed by Commission representatives. The Commission recommends that college and university administrators and the ALO consider an appropriate team of individuals responsible for validating data and determining the appropriate supporting contextual information to upload.

What are the three areas of analysis?

The three areas of analysis are student achievement, annual enrollment – FTE (formerly titled viability and capacity), and financial health.

How will this information be used by the Commission?

Following completion of the AIU submission by institutions, staff will conduct an analysis of each submission based on the indicators and metrics relating to student achievement, annual enrollment - FTE, and financial health. Institutions will receive a supplemental information report (SIR) request for additional context and information from the Commission for any data that reflects an area of concern.

How do I update my institution's student achievement webpage?

You can update the URL under the Institutional Profile tab in the [Institution Portal](#).

Every institution must report and maintain an updated student achievement webpage, which is required by MSCHE policy *[Public Disclosures Policy and Procedures](#)*, the *[Standards for Accreditation and Requirements of Affiliation](#)*, *[Verification of Compliance with Accreditation-Relevant Federal Regulations](#)*; specifically, 5 Required Information for Students and the Public and federal regulations including 34 CFR §602.16. The Commission must ensure that all URLs are active and take the user directly to the page where the required information is available and not to the institution's home page. The student achievement webpage should make available to students and the general public fair, accurate, and complete information including student performance in academic programs, completion and graduation rates, retention rates, placement and employment rates, and performance on licensing exams as appropriate.

What is the best way to prepare for the AIU?

Each institution will determine its own approach to preparing for the AIU. Institutions should consider the following:

1   The AIU is only open for a short period of time and late submissions or extensions will not be granted. The expectation is that institutions are preparing their materials in the weeks leading up to the AIU launch. Consistent with previous AIU administrations, institutional representatives will need to gather and provide the necessary uploads (e.g., Catalog(s), audited financial statement, etc.).
2   Verify your Key Contacts in the Institution Portal so that the appropriate individuals at the institution are receiving all critical AIU communications.
3   The Key Contacts, which include college and university administrators and the ALO, should identify others at the institution who need to be involved in the AIU validation, collection, and submission processes.
4   Use the data dictionary for your institution's control type and prepare the necessary data for validation or entry.
5   Determine whether the student achievement data being provided in the AIU appropriately reflects the achievement of your student population. Institutions are provided an opportunity to provide additional, contextual information that best reflects student achievement.
6   If your institution is required to provide Recommendation Responses, these should be written and vetted by Key Contacts prior to uploading the responses into the AIU.
7   Check your institution's student achievement webpage to be sure it complies with all necessary expectations of the Commission.

Where in the portal can I locate the current AIU?

Your current AIU can be found under the "Current" drop-down when selecting the "Annual Update" tab.

Why are some tabs in the "Annual Update" green and some yellow?

The tabs will turn green when all required information has been provided, and the tabs will appear yellow when there are items that still require completion.

- (a) A black, solid box indicates the tab you are currently viewing.
- (b) A green tab indicates that all required information has been provided.
- (c) A yellow tab indicates that required information is still needed.
- (d) A separate tab is provided for additional questions related to the AIU.

Why do I see a Locations tab?

The portal contains a Locations tab for institutions which lists Main Campus, Branch Campus, Additional Locations and Other Instructional Sites. At this tab, the user should verify the Name (except for the name of the Main Campus), Headcount of the location and the Address for each location. Should an update be needed to the Main Campus, Branch Campus, or Additional Locations, you would need to request a change in the p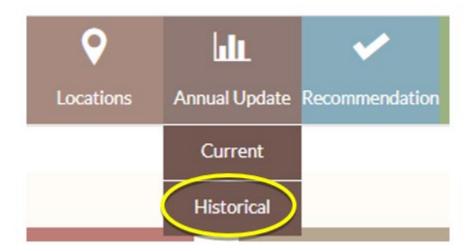ortal, by clicking the Request Change button for the specific location and provide the information requested then submit. If a change is required for Other Instructional Sites, you may update this directly in the portal. Should you have questions about your institution's locations or the process for updating information in that tab, please contact substantivechange@msche.org.

Why are some fields required?

The AIU requires fields that your institution must provide. If you feel as though required fields do not apply to your institution, please contact research@msche.org for assistance.

How do I locate the previous year's data?

Data submitted in previous collection years can be viewed by selecting "Historical" from the "Annual Update" tab and then selecting the desired collection year.

Where do I access definitions?

Definitions are available in two places for the AIU. The complete data dictionaries in PDF format are available on our website http://go.msche.org/AIU. These definitions are also available on the AIU page in-line with the items being defined.

Click on the ? to get the complete definition for that item.

How do I use the AIU data dictionaries?

Many of the AIU metrics are from IPEDS, and most institutions are not entering data but merely verifying the uploaded data. The data dictionaries provide the following information:

Source – The source of the data informs institutions where prepopulated data came from. In the following example, this field is pre-populated from the IPEDS Fall Enrollment survey, Part A. A complete list of IPEDS materials can be found on the NCES website along with the forms, definitions, and additional information regarding exactly what this metric is and is not.

Input by – Identifies whether this piece of data should be uploaded by MSCHE for IPEDS institutions or whether this is a field that must be inserted by the institution.

Variable/Calculation: Over the years, the names and locations of IPEDS fields may have changed, but the variable name has always been consistent. If you are unable to locate the exact metric, or you are uncertain exactly which metric from Fall Enrollment, Part A is the number in the AIU, then you can track back to the exact variable in IPEDS. The IPEDS data sets are available on the NCES website including actual data files and documentation with the list of variable names and definitions.

Definition: The definition explains the metric. For metrics coming directly from IPEDS, additional information on the NCES website provides much more detail regarding what should be included and what should not be included for each data point collected in IPEDS. This additional information may be useful to institutions who do not use IPEDS.

Example Part-Time Enrollment:

Part-time enrollment
- Source: IPEDS Fall Enrollment, Part A
- Input by: MSCHE uploads data from source (where available)
- Variable/Calculation: ENRPT

Definition: Total men and women enrolled for credit part time in the fall of the academic year.
• Part-time student
- Undergraduate — A student enrolled for either 11 semester credits or less, or 11 quarter credits or less, or less than 24 contact hours a week each term.
- Graduate — A student enrolled for either 8 semester credits or less, or 8 quarter credits or less.

• Credit - Recognition of attendance or performance in an instructional activity (course or program) that can be applied by a recipient toward the requirements for a degree, diploma, certificate, or other formal award.

How do I determine which financial metrics and numbers are used?

Each definition provides information that will direct you to the metric that is used. In addition to what is referenced above, the finance metrics provide you with the exact location of each number.

For the following example, the Variable/Calculation is **F1A17**.

F1 – refers to the control (F1: Public | F2: Non-profit | F3: For-profit)

A – is the part of the form where this metric will be found

17 – is the item number

Going to your institution's reported data forms will take you to the exact item for the finance area.

Example Finance

Finance
- Source: IPEDS Finance, Part A Line 17
- Input by: MSCHE uploads data from source (where available)
- Variable Calculation: F1A17

Definition (Public): <u>Unrestricted</u> net assets are net assets held by the institution upon which no restrictions have been placed by the donor or other party external to the institution.

Can our institution utilize Parts I, G, and N in completing the AIU?

While MSCHE did not incorporate these into the 2023 AIU administration, staff will be conducting an analysis of the implications of these three parts following the collection period. These updated financial metrics will be incorporated into future AIU administrations.

Will we be able to compare our institution's performance with that of our peers?

No. Institutions have access to their own data and do not yet have any aggregated data from other MSCHE member institutions. The results of the 2023 AIU administration will be posted at the Commission's website so that institutions can see how the membership performed in the areas of student achievement, annual enrollment – FTE, and financial health.

How are different degree levels defined for non-IPEDS institutions?

Refer to the following table of definitions.

Term	Definition
Postsecondary award, certificate, or diploma (less than 1 academic year)	An award that requires completion of an organized program of study at the postsecondary level (below the baccalaureate degree) in less than 1 academic year (2 semesters or 3 quarters) or designed for completion in less than 30 semester or trimester credit hours, or in less than 45 quarter credit hours, or in less than 900 contact or clock hours.
Postsecondary award, certificate, or diploma (at least 1 but less than 2 academic years)	An award that requires completion of an organized program of study at the postsecondary level (below the baccalaureate degree) in at least 1 but less than 2 full-time equivalent academic years; or designed for completion in at least 30 but less than 60 semester or trimester credit hours; or in at least 45 but less than 90 quarter credit hours; or in at least 900 but less than 1,800 contact or clock hours.
Postsecondary award, certificate, or diploma (at least 2 but less than 4 academic years)	An award that requires completion of an organized program of study at the postsecondary level (below the baccalaureate degree) in at least 2 but less than 4 full-time equivalent academic years; or designed for completion in at least 60 but less than 120 semester or trimester credit hours; or in at least 90 but less than 180 quarter credit hours; or in at least 1,800 but less than 3,600 contact or clock hours.
Associate's degree	An award that normally requires at least 2 but less than 4 years of full-time equivalent college work.

Bachelor's degree	An award (baccalaureate or equivalent degree, as determined by the Secretary, U.S. Department of Education) that normally requires at least 4 but not more than 5 years of full-time equivalent college-level work. This includes all bachelor's degrees conferred in a 5-year cooperative (work-study) program. A cooperative plan provides for alternate class attendance and employment in business, industry, or government; thus, it allows students to combine actual work experience with their college studies. Also includes bachelor's degrees in which the normal 4 years of work are completed in 3 years.
Postbaccalaureate certificate	An award that requires completion of an organized program of study beyond the bachelor's. It is designed for persons who have completed a baccalaureate degree but does not meet the requirements of a master's degree. NOTE: Even though Teacher Preparation certificate programs may require a bachelor's degree for admission, they are considered sub-baccalaureate undergraduate programs, and students in these programs are undergraduate students.
Master's degree	An award that requires the successful completion of a program of study of at least the full-time equivalent of 1 but not more than 2 academic years of work beyond the bachelor's degree.
Post-master's certificate	An award that requires completion of an organized program beyond the master's degree but does not meet the requirements of academic degrees at the doctor's level.
Doctor's degree	The highest award a student can earn for graduate study. The doctor's degree classification includes such degrees as Doctor of Education, Doctor of Juridical Science, Doctor of Public Health, and the Doctor of Philosophy degree in any field such as agronomy, food technology, education, engineering, public administration, ophthalmology, or radiology.

Doctor's degree-professional practice	A doctor's degree that is conferred upon completion of a program providing the knowledge and skills for the recognition, credential, or license required for professional practice. The degree is awarded after a period of study such that the total time to the degree, including both pre-professional and professional preparation, equals at least six full-time equivalent academic years. Some of these degrees were formerly classified as first-professional and may include: Chiropractic (D.C. or D.C.M.); Dentistry (D.D.S. or D.M.D.); Law (J.D.); Medicine (M.D.); Optometry (O.D.); Osteopathic Medicine (D.O); Pharmacy (Pharm.D.); Podiatry (D.P.M., Pod.D., D.P.); or, Veterinary Medicine (D.V.M.), and others, as designated by the awarding institution.
Doctor's degree-research/scholarship	A Ph.D. or other doctor's degree that requires advanced work beyond the master's level, including the preparation and defense of a dissertation based on original research, or the planning and execution of an original project demonstrating substantial artistic or scholarly achievement. Some examples of this type of degree may include Ed.D., D.M.A., D.B.A., D.Sc., D.A., or D.M, and others, as designated by the awarding institution.
Doctor's degree-other	A doctor's degree that does not meet the definition of a doctor's degree - research/scholarship or a doctor's degree - professional practice.

What types of files should be uploaded for the Context of Performance Uploads?

An institution may upload up to **three** documents containing data to provide additional context for the institution's student achievement. For some institutions, the data in the AIU appropriately demonstrate the performance of your student population. In other cases, these data represent a small portion of the student population. If the data does not represent your students' performance, it is important that you upload alternative data reports so that Commission representatives can better understand the achievement of your students.

Institutions that have no reported student achievement data (e.g., 150% Graduation Rate), such as graduate only institutions, will be required to provide at least **one** Context of Performance Upload. This is required so that Commission representatives can gain better context of the achievement of your students.

Do the Context of Performance Uploads need to be the same every year?
No, the Context of Performance uploads do not have to be identical every year.

Is my institution required to submit recommendation responses as part of the AIU?

An institution that is required, in a previous accreditation action, to provide Recommendation Responses to the Commission must do so as part of its AIU submission (*Accreditation Review Cycle and Monitoring Policy and Procedures*).

The Commission action language will state, "To request that, beginning in [year] and in conjunction with each Annual Institutional Update the institution provide further evidence of [identified Standards]."

The action stipulates when the first update should be submitted and the topics it should cover. Only recommendations issued by the Commission that appear on the institution's Statement of Accreditation Status (SAS) should be reported; those reflected in team reports do not get reported annually but are instead addressed throughout the accreditation cycle and within the next self-study.

How should I submit a Recommendation Response in the AIU?

Visit the How to Submit Recommendation Responses in the AIU page on the MSCHE website for details on submitting Recommendation Responses.

Is there a specific browser I should use?

Institutions should use Google Chrome, as other browsers do not work well with the Institution Portal. Institutions will experience difficulty saving or will receive an error message with a browser other than Google Chrome.

Can institutions print the AIU?

Yes, there is a print button on the top right of the AIU page in the institution portal for both current and historical AIU submissions. You may download a .CSV of your institution's current AIU data by clicking the Export to .CSV button which is located on the top right of the current AIU's page.

Why is the data we reported to IPEDS different than the data in our AIU?

For discrepancies between what is reported in the AIU and what you have reported to IPEDS, you should do the following:

> 1. Confirm that this discrepancy exists between the AIU and your IPEDS Submission. This can be confirmed by searching for your institution in the IPEDS Data Center: nces.ed.gov/ipeds/use-the-data. Click on "Look Up an Institution" and search for your institution. All submissions can be seen in the "Reported Data" sub-section.

> 2. If you identify a discrepancy between what has been reported to IPEDS and the IPEDS data, take a screenshot of the IPEDS data and of the AIU data that is not in alignment. Email the screenshot(s) to research@msche.org.

How can I correct AIU data entered in a prior year?

Currently, there is no mechanism to go back and correct AIU data that has already been validated and certified by the institution in a prior year. Institutions are provided opportunities to explain errors in data if asked for additional information by the Commission.

What if our Institution's Carnegie Classification is incorrect or out-of-date?

MSCHE pulls your Institution's Carnegie Classification directly from the Carnegie Classification of Institutions of Higher Education. Please ensure that your Carnegie Classification matches the most recently available data at carnegieclassifications.acenet.edu. Contact research@msche.org with additional questions regarding Carnegie Classification.

What if we have two or more institution catalogs?

If your institution has two or more institution catalogs, merge all of your catalogs into one PDF and submit them as a single upload.

Why can we not update a location's headcount?

Member institutions should keep their locations up to date year-round within the Institution Portal. During the AIU, you will approve the accuracy of the data in the Institution Portal by using the tab on the left column of the screen. The headcount numbers should reflect the most recent data your institution has available. The AIU requires that you update and confirm the headcounts and names for additional locations and other instructional sites. To close, open, or change the address of an additional location, you will need to initiate a substantive change request in the portal.

Why is the "Percent First Generation" field empty?

Institutions should ignore this field as the College Scorecard has discontinued capturing this information.

Will the 2023 AIU include the additional questions included in 2022?

Consistent with prior years, additional questions will be presented at the end of the AIU and are required as part of the submission. These additional questions focus on (1) the impact that the pandemic may have on your fall 2023 enrollment; (2) fiscal management realities that your institution may face in 2023-2024, and (3) Heightened Cash Monitoring (HCM) status during the 2022-2023 academic year.