University Management

How to Remain Relevant and Competitive

By

Serwan M.J. Baban and Tahseen Rafik

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Introduction to Higher Education Institutions

1.1 Introduction

This chapter presents a general introduction to the higher education business including the institutions that deliver it, their business model and their general structure.

Due to the diversity of the higher education business, the chapter concentrates on the British higher education framework which is adopted by many countries worldwide.

1.2 Definition of Higher Education and Higher Education Institutions

Higher education (HE) is the third level education after primary and secondary schools. It is conducted at colleges for further education (FE) and higher education institutions (HEI) and often encompasses undergraduate and graduate programmes. Students who pursue higher education have the opportunity to study subjects they are passionate about, which can improve their employment chances and financial standing (Nidirect Government Services, 2022).

According to a more comprehensive definition of higher education, it includes any educational programmes offered in postsecondary institutions of teaching and learning that results in a titled degree, diploma, or certificate of higher studies at the conclusion of a term of study. Additionally, professional schools that offer training in disciplines including law, theology, medicine, business, music, and the arts are also included in HEIs. Junior colleges, institutes of technology, and schools for future teachers are also considered to be part of higher education.

The completion of secondary education is the standard entrance crite-

rion for the majority of higher educational institutions, and the entrance age is often about 18 years.

The first HEIs were founded in Europe during the Middle Ages, which is where the higher education system first emerged. The models developed in major nations like France, Germany, Great Britain, and the United States have greatly influenced the form of higher education in modern times (Britannica, 2022).

All of the major higher education qualifications are described in the national framework for higher education qualifications. The following are the primary qualifications that relate to the amount of learning (Credit) and level of complexity of learning:

Undergraduate Degrees

- Bachelor's degrees: BA, BSc, MB, BTEC and more.

- Higher National Diplomas (HND).

- Higher National Certificates (HNC).

Postgraduate Degrees

- Postgraduate certificates (PGCert).

- Postgraduate diplomas (PGDip).

- Master's degrees (MSc, MA, MEng., MRes, MPhil, LL).

- Doctorates

In summary, HEIs are the entities that deliver higher education services, leading to a named award, and normally established by a *Charter* issued by a high authority in the Government (e.g., Royal Charter in the UK, Ministries of Higher Education, Council of Ministers, etc). HEIs vary in size, history, mission and subject mix. They include Universities, Colleges, Academies Higher Vocational bodies and Institutes.

1.3 Mission of HEIs

A mission statement, or simply a mission, is a concise public assertion that higher education institutions (HEIs) use to express their founding purpose and main organisational commitments—that is, what they do and why they do it (Wikipedia, 2022).

HEIs' mission used to concentrate on developing knowledge, through research, and transmit knowledge, through teaching. In late nineties, a third mission, called "Community Engagement" started to emerge and soon was followed by other themes like Widening Participation, Innovation, Wellbeing and Environment. Todays, there is a wide range of mission statements used by different HEIs to emphasise their unique features that match the natures of their institutions.

1.4 Business Model Canvas of HEIs

A business model (BM) describes the organisation's ability to generate value for itself while providing goods or services to consumers. Business strategy includes the development and modification of business models (BMs), which is also known as business model innovation (Wikipedia, 2011). Essentially, a BM explains to stakeholders how a business's core drivers interact.

A strategic management tool for quickly and simply defining and communicating a business idea or concept is the Business Model Canvas (BMC). It is a one-page document that walks through the core components of a company to develop a logical framework. It is frequently employed because it is:

- Simple to comprehend.

- Concentrated and focused.

- Versatile.

- Customers are the focus.

- Demonstrates connections.

- Simple to communicate.

Figure 1.1 shows the general structure of the BMC. It consists of 9 blocks to represents all the activities of a business. It can be used to describe any organisation.

Main Partners	Key Activities	Value Proposition	Channels	Channels
	Required Resources		Customer Relations	
Cost and Expenditure Structure			Income Streams	
Cost to the Institution			Revenue Generated to the Institution	
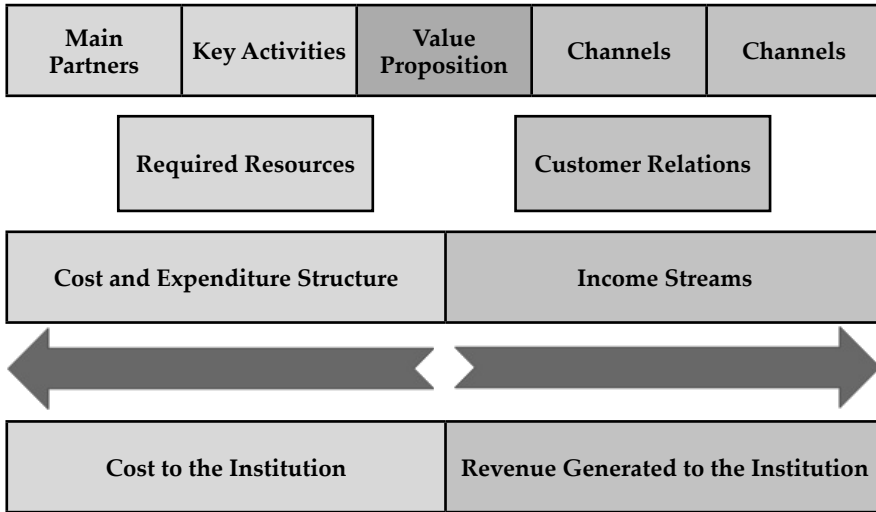
Figure 1.1 *The General structure of the BMC.*

In the following, each block is described and applied to general HEIs.

1.4.1 Value Proposition

Describes the value the HEI delivers to each customer segment.

Common Value Propositions include:

- Brand.

- Location.

- Research profile.

- Employability of graduates.

- Teaching methods that address the emerging learning styles of students.

- Extra curriculum facilities.

- Student's support.

- Accreditation by professional bodies.

- Students' satisfaction.

- Ranking.

1.4.2 Customer Segments

Identify who is interested in using the HEI services. Customer segmentation is the practise of grouping people who are similar in particular ways from a customer base.

Common Customer Segments in HEIs include:

- School leavers.

- Adult learners.

- International students.

- Public and private organisations through research, consultancy and training.

- Publishers.

1.4.3 Customer Relations

Identify how the HEI interacts with its customers. It is about how the HEI get, keep and grow its customers.

Common Customer relations include:

- Website/social media.

- Open Days.

- Prospectus/leaflets/flyers.

- Admission Tutors.

- Exhibitions.

- Phone (Hotline Desk).

- Reception Desk.

- Feedback and surveys.

- Students Ambassadors.

1.4.4 Delivery Channels

Identify how the HEI delivers its services to customers.

Common delivery channels include:

- On-Campus face-to-face teaching.

- On-Campus learning spaces.

- Online teaching.

- Blended learning.

- On-campus research labs.

- Field learning, teaching and research.

- Specialised sites.

- Customer's in-house sites.

- Publications in journals, periodicals, and proceedings.

- Conferences, seminars, and workshops.

1.4.5 Income Streams

Determine the process by which the HEI turns its value proposition into an income.

Common revenue streams include:

- Tuition fees.

- Government Scholarships.

- Donations.

- Research grants.

- Students' accommodation fees.

1.4.6 Key Activities

Identify the key activities needed to realise the HEI value proposition.

Common key activities include:

- Curriculum development and delivery.

- Admissions and registration.

- Learning and teaching.

- Assessments and progression.

- Students' support.

- Extra curriculum activities.

- Research, consultancy, and training.

- Conferences, seminars, and workshops.

- Community engagements.

- Marketing and public relations.

1.4.7 Required Resources

Determine what resources are required to complete the main HEI activities (actions).

Common resources include:

- Human resources and experts.

- Capital.

- Software and IT infrastructure.

- Theatres, classrooms, labs and workshops.

- Library and learning spaces/resources.

- Entertainment and sport facilities.

- Health clinic.

- Faith and religious practicing rooms.

- Staff offices.

- Meeting rooms/halls.

- Transport (cars, trucks).

- Storage and archiving.

- Consumables.

- Printing, photocopying and scanning facilities.

- Cafeteria and staff common room.

- Parking spaces.

- Guard room.

1.4.8 Cost and Expenditure Structure

The financial outlay for running the HEI business.

Common cost and expenditure structure include:

- Cost of resources including staff salaries and pensions.

- Maintenance and upgrading of physical resources.

- Marketing.

- Insurance, legal, utilities and licences.

- Consumables.

- Partnership's cost.

- Travel costs.

- Research pump priming.

1.4.9 Main Partners

Determine outside businesses, suppliers, or other stakeholders the HEI require to carry out its main functions and provide value to the clients.

Common partners include:

- Strategic partnership with suppliers.

- Contractors.

- Retailors.

- Government agencies.

- Partnership with national and international institutions/professional bodies.

1.5   General Management Structure of HEIs

To make strategy implementation and goal achievement easier, an organisational structure is required. It has been described as the 'shape' of the business but can be described as the recognised form of relationships between individuals, groups and departments within the Institution.

According to Drucker (2008), structure is a means for attaining the objectives and goals of an organisation. The organisational structures of HEIs vary distinctly. They depend on the type of Institution and their culture, size and history (please refer to references Kováts. 2018; Felix, 2019; Mission Statement, 2022; Nidirect Government Services. 2022; Cavallari, 2023; Governance Manual, 2023; Governance Handbook, 2023; Organisational Structure, 2023; Pusser and Loss, 2023; The Structure of the University, 2023 listed at the end of this chapter). Despite this versification, HEIs also share much in common. For example, the vast majority of public and private HEIs of all types have key authority structures consisting of a Governing Board or Board of Trustees (*for the rest of this book, Governing Body term will be used to refer to these boards*), a president or Vice Chancellor, a cohort of senior administrative leaders, and an Academic Senate/Board. In the following, a general description of the structure of a typical HEI is presented.

1.5.1 The Governing Body

The HEI Governing Body has unquestionable legal control over the Institution. Citizens who are knowledgeable about the HEI's operations make up the majority of both public and private such boards. Those trustees in the public situation are frequently appointed individuals who act as a crucial conduit between the HEI and the government. The President of the HEI, a staff representative, and a student representation are also members of the Governing Body. The Governing Body chooses its own chairperson from among its independent members.

Despite being small in members, the HEIs' Governing Body have considerable statutory duties. They include safeguarding the Institution's charter, assessing the Institution's performance, raising money, liaising with outside organisations and political groups, approving budgets, monitoring campus policies and investment plans, and, possibly most importantly, hiring and monitoring the Institute president's ongoing performance. Due to the fact that they are entrusted with both public and private finances, governing bodies have a special obligation to uphold the highest standards of corporate governance. This entails making sure and exhibiting objectivity and honesty in the conduct

of their institution and, whenever practical, adhering to an openness and transparency policy in the communication of their judgments. The following details the governing body's general responsibilities:

Strategic Planning

The institution's main goals in teaching, research, and community engagement must be enabled by its governing body for it to succeed. This duty entails considering, approving and monitoring/reviewing the institution's strategic plan, which lays out the academic goals and objectives of the Institution and specifies the resources, facilities, and personnel plans required to meet these goals. Planning and resources committees are normally established by the governing body to help with these issues.

Monitoring Performance

The institution's performance should be frequently evaluated by the Governing Body in relation to its deliberate strategy and operational goals.

Finance

The Governing Body's financial duties include:

- Ensuring the institution's solvency and protecting its assets.

- Endorsing the financial plan.

- Endorsing yearly operating budgets and plans, which have to be based on the institution's strategic plan.

- Receiving and approving annual reports; confirming the existence and integrity of financial control systems; and overseeing such systems via the Audit Committee (financial statements).

Audit

The Governing Body is in charge of overseeing the Institution's plans for conducting internal and external audits, their outcomes and the action plans to mitigate any shortfalls.

Estate Management

The Governing Body is in charge of monitoring the Institution's property management strategy. A planned maintenance programme should also be included in the estate strategy that it considers, approves, and keeps under review. This estate strategy specifies the property and space needs necessary to achieve the Institution's strategic goals.

Staffing

The institution's human resources policy is the responsibility of the Governing Body. This involves making certain that wages and working conditions are fairly set forth and implemented. The president of the institution and any other executive positions that may be created from time to time are also appointed by the Governing Body, who also sets their terms and conditions.

Health and Safety

The institution's Governing Body is ultimately responsible for ensuring the health and safety of all people when they are on its property and at other locations where they may be impacted by its operations, including staff, students, and other visitors. The Governing Body is responsible for ensuring that the Institution has a documented declaration of health and safety policy, as well as plans for its execution, monitoring and reviewing.

The Governing Body needs guidelines for the conduct of its meetings in order to operate effectively. Rules must be followed in the following areas, but are not limited to:

- Membership nominations.
- The selection process for the chair.
- Voting procedures.
- Reversing judgments.
- Calling special gatherings.
- Conditions for a quorum.
- How frequently meetings are held.

The Governing Body delegates considerable decision-making responsibility to the Vice-Chancellor or the President of the institution and the Institution Executive Board(s), chaired by the Vice-Chancellor/President (VC), who have overall responsibility for the executive management of the institution and its day-to-day operation. The Executive Board(s) operates with the support of various boards and committees set up to progress more detailed work in key areas as outlined in the HEI committees/boards structure.

Normally, there are two main executive boards: Academic Board, which deals with all the academic activities of the institution, and the Executive Management Board, which deals with all the non-academic business of the institution. Some HEIs combine the two boards in one and call it University Council.

In the following, typical roles of the members of Governing Body, VC and members of executive boards are presented.

1.5.2 Members of the Governing Body

1.5.2.1   Role Specification

Members of the Governing Body perform key roles in relation to the direction, strategy, and corporate governance of the HEI. Members take collective responsibility for the long-term sustainability of the HEI, working with the Chair of the Governing Body, the VC and the executive management team to ensure that the HEI is managed and developed in line with legal and policy parameters and accepted standards of best practice.

Governing Body members should bring independent judgement and objective scrutiny to the oversight of the HEI. Members should be prepared to challenge, when necessary, while being supportive to the delivery of the HEI's mission, objectives and values.

Candidates for membership of the Governing Body are required to work in the HEI's best interests and be prepared to commit sufficient time to undertake the role. Candidates must not have any conflicts of interest likely to interfere with their ability to assume the role of a Governing Body

external member. Candidates must not be employees of the HEI and all appointments shall be in line with legislative requirements. Successful candidates will be required to sign a Code of Conduct on appointment.

1.5.2.2   Person Specification

General requirements

Ideally, candidates will demonstrate the following capabilities:

- Ability to work constructively with others.

- Commitment to education, life-long learning, research and innovation.

- Critical thinking, good judgement and independence.

- Excellent communication skills.

- Experience of governance in complex and/or Public Sector organisations.

- Record of personal experience at board or senior management level.

Individual Requirements

- Candidates will be expected to have familiarity with, or commitment to, higher education.

- Having regard to the statutory governance and other requirements.

- Candidates are asked in their expression of interest to demonstrate their experience and skills with evidence of competencies in, or commitment to, one or more of the following areas:

  ➢ Business, enterprise and entrepreneurship.

  ➢ Civic, social, cultural and community engagement.

  ➢ Corporate governance, risk management and organisational management.

- ➢ Delivery of strategic capital plans and projects.

- ➢ Equality, diversity and inclusion.

- ➢ Expertise in widening participation and awareness of opportunities in technologically enhanced provision.

- ➢ Finance.

- ➢ Human Resources.

- ➢ Internationalisation of higher education.

- ➢ Law.

- ➢ Professional excellence in the delivery of academic administration and student support services

- ➢ Research and Innovation.

- ➢ Strategic development and sustainability.

- ➢ Technology and society.

Eligibility

Candidates shall be ineligible if they are:

- • Employees of the HEI.

- • Undischarged bankrupt.

- • Have been convicted of any indictable offence in relation to a company or any other body corporate.

- • Have been convicted of an offence involving fraud or dishonesty.

- • have had any conflicts of interest likely to interfere with their ability to assume the role of a member of the HEI's Governing Body.

1.5.2.3 The Appointment Process

Term of Appointment

It is intended the appointee(s) will take office in the beginning of the academic year. The term of office for these appointments is three years

and a member cannot serve for more than two consecutive terms of office.

Remuneration

These positions are non-executive and non-remunerated, although appropriate expenses will be covered in line with the HEI regulations.

Appointment Process

A Nominations Committee consisting of the Chair, two members and the VC will be tasked to invite expressions of interest to serve as member of the Governing Body.

Candidates are invited to submit a CV and cover letter outlining their suitability for the role with reference to the selection criteria set out in Person Specification. They are also asked to complete and submit a "Declaration of Eligibility" form.

More specifically:

- A full C.V. The CV should detail the following:

  ➢ Employment history and/or voluntary roles.

  ➢ Academic and professional qualifications.

  ➢ Other relevant experience and/or achievements.

  ➢ Evidence of how you meet both the general and the individual requirements.

- Covering Letter: The covering letter should outline the following:

  ➢ How you meet the stated criteria by specifying your primary expertise (and where applicable, secondary and tertiary expertise) as it relates to the individual requirements.

  ➢ Why the appointment is of interest to the applicant.

  ➢ What the applicant believe he/she can bring to the role.

- Declaration of Eligibility: A completed "Declaration of Eligibility" form which includes:

Part One: Contact details

Full Name:

Address:

Phone :

Email:

Part Two: Conflict of Interest

Do you confirm that you do not have any conflicts of interest or legal impediment which might interfere, or be perceived to interfere, with your ability to play a full part on the Governing Body of the HEI?

Yes   No

Part Three: Meeting attendance

Do you confirm that you can make yourself available to attend meetings and to carry out the duties of an external member of Governing Body?

Yes   No

Part Four: Retention of Data

Do you consent to your data being retained by the SETU for a period of up to one month after the completion of the appointment process.

Yes   No

Signature of applicant

Date:

1.5.3 The Vice Chancellor/President of the HEI

The Vice Chancellor/President (*for the rest of the book, the term VC will be used to represent the terms Vice Chancellor or Present of the HEI*) is the institution's principal academic and administrative officer. He or she effectively serves as the Institution's main executive. The VC is accountable to the Governing Body for carrying out these duties and has overall responsibility for the institution's executive management and day-to-day leadership. The VC is in charge of both the Academic Board and the Executive Management Board.

The specific duties of the VC are:

- Provide the entire Institution's academic and administrative leadership.

- The appointment, assignment, grading, appraisal, suspension, and determination, within the parameters established by the Governing Body, of the pay and conditions of service of staff other than the holders of executive posts.

- The organisation, direction, and management of the institution and leadership of staff and activities.

- The choice of the institution's academic activities as well as its additional activities, after consultation with the academic board.

- Creating annual estimates of revenue and expenses for the Governing Body's review and for the management of the budget and resources, within the estimates that the Governing Body has approved.

- Upholding student discipline, implementing decisions to expel students for academic reasons, and suspending or expelling students for infractions of the norms and procedures outlined in the statutes.

- Serve as the institution's external representation at both a national and international level.

- Create a sound financial base that will support the institution's objectives and aspirations.

- Fulfils certain important civic and ceremonial obligations.

- Makes recommendations to the Governing Body regarding the institution's educational mission and goals, as well as how to carry out its decisions.

1.5.4 The Academic Board

The Academic Board (AB) is the supreme academic authority for teaching, learning, and research as well as for regulating and supervising the education of the institution's students. This authority is implemented through the following powers and functions, subject to the Governing Body's authority as set forth in the Charter and Statutes:

- To consider, approve and monitor implementation of the Learning and Teaching, Research and Enterprise and Community Engagement Strategic and Operational Plans.

- To consider and approve the documentations to be submitted for external quality assurance audits.

- To develop, approve and update all the academic rules and regulations.

- To ensure the correct and consistent implementation of the institute's academic rules and regulations.

- To approve the results of students' assessments referred to it by the academic delivery units.

- To confer Degrees, Diplomas, Certificates, and other academic distinctions on individuals who have pursued a course of study that has been approved by the Academic Board and who have successfully completed the institution's examinations under the guidelines outlined in its academic rules and regulations.

- To authorise new academic programmes that lead to institution awards and that have passed a validation event in accordance with the institute's academic rules and regulations.

- To discontinue existing programme of study.

- To approve minor and major modifications to existing programmes of study.

- To review the programmes of study offered by the institution through the Annual Programme Report process as outlined by the academic rules and regulations.

- To appoint External Examiners.

- To expel any student who violates academic integrity as determined by the established academic disciplinary and appeal processes.

- To review its own performance and the performance of any committees it creates.

- To ensure academic governance arrangements are effective and enhance institutional performance.

- To oversee its Committees Terms of Reference.

- To oversee the institute arrangements for collaborative provision.

- To give advice on such other matters as the Governing body or the VC may refer to the Academic Board.

The membership of the AB normally includes:

Ex-Officio Members:

- The VC of the institution.

- The Pro Vice Chancellor.

- The Heads of the Academic Delivery units.

- The Registrar.

- The Head of Library and Learning Resources.

- The Head of the Quality Assurance and Enhancement Unit.

- The Head of Students Services Unit.

Appointed Non-Voting Members:

- Two members of Academic Staff nominated by their peers.

- The President of the Students Council.

1.5.5 The Executive Management Board

In accordance with the authority delegated by the Governing Body and the power reserved by the Academic Board, the Executive Management Board (EMB) is in charge of overseeing the institution's non-academic offerings in order to support the main business of the institution. Their primary duties are as follows:

- To develop and discuss the institutional budget and recommend it to the Governing body for approval.

- To develop and discuss the Financial Rules and Regulations and recommend them to the Governing body for approval.

- To monitor the financial performance of the HEI including the performance of the cost centres.

- To oversee the audit process.

- To discuss the End-of-Year financial report and recommend it to the Governing body.

- To develop and discuss the Human Resources rules, regulations and policies and recommend them to the Governing body for approval.

- To oversee the fair and consistent implementation of the HEI human resources policies related to equal opportunity, disability, and discrimination.

- To oversee the implementation of staff disciplinary and appeal procedures.

- To deal with staff grievance.

- To discuss, review and approve staff contracts and pay scale.

- To review and approve the institutional Health and Safety policy.

- To ensure that the institutional campuses and their surroundings are secured, safe and provide healthy environment to staff, student, visitors and the community.

- To ensure that the institutional students' hostels are secured, safe and provide healthy environment to students.

- To promote environmental-friendly practices including paperless meetings.

- To oversee the development, upgrading and maintenance of the Institution's IT infrastructure including computers, printers, software, internet, intranet, internal telephone network, staff and students' emails, back-ups, audio/video facilities and support for e-learning activities.

- To ensure that the institutional IT system is protected from viruses and cyber-attacks.

- To oversee the performance of the marketing and public relations activities.

- To supervise the long-term management of the institution's property and structures. A planned maintenance programme should also be included in the estate strategy that it considers, approves, and keeps under review. This estate strategy speci-

fies the property and space needs necessary to achieve the institution's strategic plan's goals.

1.5.6 Academic Delivery Bodies

The Academic Delivery Bodies are responsible for designing, developing and delivering the core business of HEI, which are:

- Educational services that lead to named awards.

- Research and consultancy services which are normally delivered through Research Groups within the delivery bodies or through designated independent Research Centres.

- Community Engagement Services which are normally delivered through the Continuing Education Centre.

Depending on the size, nature and culture of the HEI, the Academic Delivery Bodies may have different names like Departments, Schools, Faculties, Institutes and Colleges. For the rest of this book, the term "Department" will be used for referring to an academic delivery body.

On the proposal of the Academic Board, the Governing Body often creates Academic Departments and prescribes the names, organisational structure, legal authority, and responsibilities of each Department.

Each academic department is led by a Head who reports to the VC or, in cases of delegation, a Pro Vice Chancellor. The Governance Manual of the institution often contains a description of the powers, responsibilities, and appointment process for the Head of Department. Any decision-making and management frameworks that the HEI approves are used to hold all members of an academic department accountable to the Head of Department.

Academic departments are normally managed by Department Committee, chaired by the head of department, and includes senior members of staff, staff representation and students' representation. The terms of Reference for the Department Committee are normally outlined

in the Governance Manual. Depending on the size and activities of the department, academic departments may have different committees and working groups. These include Programmes Committees, Admission Committee, Postgraduate Committee, Research Committee, Marketing Committee, Staff-Students Liaison Committee, Purchasing Committee, and others. Depending on the degree of the HEI's decentralisation management structure. The terms of reference of these committees are approved by the Department Committee or by the Academic Board.

Some HEIs, who have strong research activities, develop specialised Research Centres to advance knowledge in certain areas. These centres are normally independent and commercially-based to fund their research activities and contribute to the HEI income streams. Some of the projects carried out by the research centres are normally PhD projects.

Continuous education, life-long learning and community engagement services are normally offered and delivered by designated centres. The centres services include a wide range of activities ranging from soft skills to advanced training courses on emergent technologies and topics.

1.5.7 Academic Support Bodies

These bodies are responsible for supporting the academic delivery bodies in realising their mission. Key academic support bodies include (titles may vary from one institution to another):

- Learning and Library Resources.

- Quality Assurance and Enhancement.

- Admissions and Registration Office.

- Collaborative Provision.

- Student's Services.

In the following, a brief description of the above bodies is presented.

1.5.7.1 Library and Learning Resources Unit

The success of the students and academic staff in pursuing their educational, teaching, learning and research goals depends heavily on the library and learning resources. The unit's services are under the following categories:

- Learning, teaching and research resources.

- Archives and information management.

- Links between research and learning.

- Customer support provision.

1.5.7.2 Admissions and Registration Office

The main role of the Admissions and Registration Office (A&RO) is to support the HEI's mission by offering fast and reliable support to students, academic staff, and administration, as well as efficient, fair, clear, explicit, and effective admissions and registration processes. The office will also foster student academic progress. The Head of Admissions and Registration Office is in charge of the Office and the job description and appointment process is normally outlined in the Governance Manual.

The Admissions and Registration Office shall ensure that:

- The assessments of students' applications and the execution of admission process. including judgments and decisions, are conducted by qualified, competent and trained staff.

- The information provided in the promotional materials and marketing activities is accurate, pertinent, current, and easily available. This information enables candidates to make well-informed decisions regarding their choices of intended programme of study.

- Admissions and registration policies and procedures are clear and are efficiently, fairly, considerately, and consistently followed.