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**Workflow Overview**

The AAA Exception Workflow was designed to streamline the processing of petitions for degree requirements in the departments and colleges and to facilitate their entry into uAchieve, the application which stores all student exceptions for use on major progress checks.

When major progress checks were first launched at UCSB, the Academic Services unit in the Office of the Registrar was responsible for the data entry of all student petitions for degree requirements. This included data entering the backlog of petitions that already existed for majors that were being encoded, as well as any new petitions received for majors that were made available to the UCSB community.

The goals of the project included:

- Replace paper petition approval process with an online resource
- Make the process by which petitions are created as user friendly as possible by mimicking the existing process
- Increase the speed of petition processing from the point of initiation through data entry into uAchieve.
- Maximize the number of petitions that could be automatically entered into uAchieve in the fewest number of petition types to help reduce the amount of training required.
- Minimize of petitions that would require manual intervention by the Academic Services staff in the Office of the Registrar.
Petition Types

The segments below give a general overview of the five petition types available through the workflow.

- Add Course(s) to an Area
- Substitute a Course within an Area
- Universal Equivalency
- Advisor Approval
- Other

Add Course(s) to an Area

The Add Courses petition type is intended to be used to add courses from a student’s record to a requirement. This petition type is good for situations in which a course is being used to fulfill a requirement, but is not intended to replace any particular UCSB course that is already approved to count towards the requirement. This may be the only option for petitioning elective requirements where a student is allowed to choose one or more courses from a large set of options.

What this petition type does:

- The courses specified from the student record in the ‘Select Courses’ field are added to the list of courses which may apply to the requirement selected in the ‘Requirement’ field.

What this petition doesn’t do:

- It cannot change the number of courses applied.
  - E.g. if you want to use 2 courses from the student record to satisfy 3 required courses, this petition cannot make that kind of adjustment. (See ‘Substitute a Course’)
- It cannot alter the unit value of the course being added (Use Other type).
  - E.g. if a transfer course was granted 6 units and you only want 4 units to apply to the requirement, this petition cannot handle the request
- It cannot apply a course to multiple areas/split a course between sub-requirements. (Use Other type)
- It cannot override a unit or course limitation.
  - E.g. A limitation that only 4 units of 199 coursework apply to the major requirements or a limitation that only 8 units from a particular super-course apply to the major requirements.
- It cannot override the rejection of a course by a requirement.
  - E.g. the Spanish major requirements specifically exclude SPAN 195 and 196 from applying to area E of the upper division. This course rejection is coded into DARS and can only be overridden by an Other petition.
Additional notes:

- This petition type is never viewed by anyone in Academic Services and is fed into uAchieve exactly as entered.
- This petition does not ‘force’ the course selected to apply to the requirement specified. It simply informs uAchieve that it may use the course(s) towards the requirement area. If the course may also be used to satisfy a different requirement area, uAchieve will apply the course to the first requirement it encounters that needs it.

Substitute a Course within an Area

The Substitute Courses petition type is intended for situations in which you would like to apply courses from the student record as substitutes for specific courses in the degree requirements.
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This petition type is able to adjust for differences between the number of courses being applied from the student’s record and the number of courses to be satisfied in the degree requirements. It also ensures that a particular course not be counted twice if a petition is filed and the student subsequently completes the substituted UCSB course.

**What this petition type does:**
- The courses specified from the student record and the courses from the degree requirement are noted in uAchieve. If the number of courses applied from the student record is not equal to the number of courses being substituted in the requirement, the exception adjusts the number of courses required by the requirement to compensate for the difference.

**What this petition type does not do:**
- It cannot split courses between different sub-requirements.
- It cannot apply partial units from a course toward the requirement.

**Additional Notes:**
- This petition type is never viewed by anyone in Academic Services and is fed into uAchieve exactly as entered.
- This petition does not ‘force’ the course(s) selected to apply to the requirement specified. It simply informs uAchieve that it may use the course(s) towards the requirement area. If the course may also be used for a different requirement area, uAchieve will apply the course to the first requirement it encounters that needs it. If an adjustment to the number of required courses is included on the exception in uAchieve, it is applied even if one or more courses on the exception were applied to a different requirement.
Universal Equivalency

This is the only petition type related to the courses offered by the department, not to major requirements. The Universal Equivalency petition allows a department to identify transfer courses as being direct equivalents to one of their department’s courses. This can only be done for a 1-to-1 equivalence where one transfer course is equivalent to one UCSB course. This exception is student specific and does not affect any other students that may have taken the same course.
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These petitions are also used during pre-requisite checking when students are registering for courses. This means that a ‘Y Screen’ entry does not need to be made in STAR for courses that have a Universal Equivalency petition.

What this petition does:
- This exception forces the uAchieve system to treat the course on the student’s record as if it were the specified UCSB course. This course is then automatically applied to any requirement that would accept the UCSB course, regardless of major or college.

What this petition type does not do:
- It cannot accept any combinations of courses other than a 1-to-1 equivalent. The uAchieve articulation process run by Admissions can articulate courses in other combinations, but this petition cannot.
- It will not override any requirements that are specifically encoded to exclude transferred equivalents of UCSB courses (e.g. the Special Subject Area Writing requirement).

Additional Notes:
- This petition type is only reviewed by Academic Services unit when the ‘Credit Adjustment Needed’ box is checked.
  - A credit adjustment may be needed if the course equivalent would create a situation where duplication or partial duplication of course credit would exist on the student’s record.
  - An example would be if the Psychology department were verifying that a pre-matriculation transfer course was equivalent to PSY 5, but the student had subsequently taken PSTAT 5A at UCSB. If the petition were put through and nothing was done about the PSTAT 5A credit, it would result in a situation where SREG/STAR would retain units for both courses (it doesn’t know about these petitions), but any major progress checks would remove credit for the PSTAT 5A course.
- One drawback is that uAchieve ceases to recognize the course by its original name and any other petitions (e.g. GE exceptions entered by Admissions) entered for this course may need to be adjusted.
Advisor Approval

This petition type is usually used in situations where satisfaction of a requirement is not related to a specific course on the student’s record. This is primarily used by the colleges for requirements like Academic Residency or waiver of the American History & Institutions requirement. Some academic departments might use this petition if their major progress checks include a requirement that could be satisfied based on verification from the advisor (e.g. department approval of major electives, language requirements, etc.).

What this petition does:

- This petition either adds information to the student’s record to help the audit determine which version of a requirement to enforce or it adds a ‘course’ which satisfies the requirement.
Other

This petition type is intended for anything that is not covered by the previous types and would require that an exception be manually added to uAchieve by the Academic Services unit in the Office of the Registrar.

When to use this petition:
- If a course needs to be split to apply to more than one sub-requirement.
- If only a portion of the units awarded for a course may be applied to the requirement.
- If the request is to override a limitation on the number of units of a particular course or super-course that may be applied to the major.
- If a course that had been rejected (excluded) from a particular requirement, but needs to be applied in this one case.
- A request to change a major catalog year for a current major.
- Any other request that is particular to a student’s requirements but isn’t covered by one of the other petition types.
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![Degree Audit - Other](image)

- Request:
- Justification:
  - Select a Previous Justification:
- Notify Student [ ]
- Accept P/NP [ ]
- Messages to Student:
- Internal Comments:

[RETURN TO QUEUE] [SUBMIT]
Petition Components

This segment will cover some general information regarding the use of the various fields on the petition forms. The options available in many of the fields are dynamically generated based on your previous selections. Because of the dynamic nature of these fields, if you need to change a selection, you should always assume that any fields below the changed field will be cleared of their current content.

<table>
<thead>
<tr>
<th></th>
<th>Add Courses</th>
<th>Substitute Courses</th>
<th>Universal Equivalency</th>
<th>Advisor Approval</th>
<th>Other</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Program or GE Area</strong></td>
<td>X</td>
<td>X</td>
<td></td>
<td></td>
<td>X</td>
</tr>
<tr>
<td><strong>Catalog Year</strong></td>
<td>X</td>
<td>X</td>
<td></td>
<td></td>
<td>X</td>
</tr>
<tr>
<td><strong>Requirement</strong></td>
<td>X</td>
<td>X</td>
<td></td>
<td></td>
<td>X</td>
</tr>
<tr>
<td><strong>Select Courses</strong></td>
<td>X</td>
<td>X</td>
<td></td>
<td></td>
<td>X</td>
</tr>
<tr>
<td><strong>Substitute For</strong></td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td>X</td>
</tr>
<tr>
<td><strong>UCSB Equiv</strong></td>
<td></td>
<td></td>
<td></td>
<td>X</td>
<td></td>
</tr>
<tr>
<td><strong>Student’s Course</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>X</td>
</tr>
<tr>
<td><strong>Request</strong></td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Justification</strong></td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td><strong>Notify Student</strong></td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td><strong>Accept P/NP</strong></td>
<td>X</td>
<td>X</td>
<td>X</td>
<td></td>
<td>X</td>
</tr>
<tr>
<td><strong>Credit Adjustment Needed</strong></td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Messages to Student</strong></td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td><strong>Internal Comments</strong></td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
</tbody>
</table>

1. The Accept P/NP field is included on the Advisor Approval petition form but does not have any affect on the petition.

Program or GE Area:

This drop down menu allows the user to select the Program (i.e. major) or GE area that the petition will affect. Options available to the user are determined by the Department(s) or College associated with the user’s Role for the workflow.
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Catalog Year:
This value is automatically populated based on the Program selected. If the program is already on the student record, the catalog year will populate with the major catalog year on the student’s record. If the program is not currently on the student record, it will populate with the current catalog year. The user may manually change this value to override the default.

Note: The Catalog Year does not actually affect the exception that is entered into uAchieve. All it does is vary which options will appear in the Requirements drop down and which courses will appear in the Substitute For field.

Requirement:
This drop-down field displays the Requirement options available for the selected Program or GE Area for the selected Catalog year. Only requirements that may be petitioned using the petition type selected will be displayed.

Select Courses:
Used on the Add Courses and Substitute Courses petitions, this field displays courses from the student record. This includes completed courses, courses in progress for the current quarter, and any future quarter courses for which a student is registered. Courses are sorted by institution (with UCSB courses listed first), with each institution’s courses listed chronologically.

In addition, the list of courses may be filtered by entering text in the ‘Filter’ field. The filter will filter using any text in the Select Courses field including the department codes, course name or course number.

Petitions may be processed for current or future quarter courses. Once approved, the petitions may be verified using a WIP audit. If the student does not pass the course or drops the course, the petitioned course will not satisfy the requirement.
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Multiple courses may be selected by holding down the ‘CTRL’ key (Command key in OS X) as you click on the courses.

Note: When transitioning to a new quarter, the system quarter will sometimes roll forward before all grades have been submitted for the previous quarter. At the point the system quarter rolls forward, any classes that do not have grades assigned will disappear from the list. They will return once the course has a grade assigned.

Substitute For:
Used on the Substitute Courses petition. This field displays the courses associated with the option selected in the Requirement drop-down. Only courses approved for the selected Catalog Year will be displayed.

Multiple courses may be selected by holding down the CTRL key (Command key in OS X) while clicking on the desired courses.

UCSB Equiv:
Used on the Universal Equivalency petition. Indicate the UCSB course that the Student’s Course selection is equivalent to.

Student’s Course:
Drop down menu listing courses from the student’s record. Only one course may be selected. Courses are listed by institution, with UCSB courses appearing first on the list. Each institution’s courses are listed chronologically.
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**Request:**
Used to specify the student request on the Other petition type.

**Justification:**
The justification field is intended for the student’s justification for the request (i.e. why do they think the request should be approved.)

The drop down field associated with the Justification text box contains the 10 most recent Justifications entered by the user for the current petition type. Selecting one of these options will automatically populate the Justification text box with the selected value which may then be edited, if needed.

**Notify Student:**
If checked, when the petition is approved or denied by the college, a notification is sent to the student. This box is checked by default.

**Accept P/NP:**
When checked, this text box will allow a course taken for a P/NP grade to be applied to a requirement that would normally only accept a letter graded course. This can be used for UCSB or transferred courses.

**Registrar’s Office: Credit Adjustment Needed:**
Used on the Universal Equivalency petition to indicate that an adjustment needs to be made to the student’s UCSB record prior to the petition being processed. This will redirect the petition into the Registrar’s Queue after approval by the College.

An example would be if the Psychology department were verifying that a pre-matriculation transfer course was equivalent to PSY 5, but the student had subsequently taken PSTAT 5A at UCSB. If the petition were put through and nothing was done about
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the PSTAT 5A credit, it would result in a situation where SREG/STAR would retain units for both courses (it doesn’t know about these petitions), but any Degree Audits would remove credit for the PSTAT 5A course.

Make sure to specify the adjustment in the ‘Internal Comments’ field.

☑ Registrar’s Office: Credit Adjustment Needed

Messages to Student:
This is a message that will be included in the notification email to the student. Please note that students do not have any other mechanism for viewing petitions. If the Notify Student box is unchecked, any Messages to Student that are entered will not be sent to the student.

Internal Comments:
This text field is intended for messages intended for anyone who might view this petition in the future. This field is not included in the email notification to the student.

Note: While this field is not included in any notifications to the student, it is part of the student’s record and must be disclosed should the student ever request to see their complete record.
Roles

Security and permissions in the workflow are handled by assigning users a Role as well as Department (up to 4) or College affiliations. The roles determine which actions may be performed by the user throughout the workflow.

<table>
<thead>
<tr>
<th>Role</th>
<th>Initiation</th>
<th>Dept. Recommendation</th>
<th>College Decision</th>
<th>Registrar Processing</th>
<th>Withdrawal</th>
<th>My Work Queue</th>
</tr>
</thead>
<tbody>
<tr>
<td>Dept. Advisor</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>X</td>
</tr>
<tr>
<td>Dept. Chair</td>
<td>X¹</td>
<td>X</td>
<td></td>
<td></td>
<td>X</td>
<td>X X</td>
</tr>
<tr>
<td>College</td>
<td>X²</td>
<td></td>
<td>X</td>
<td></td>
<td></td>
<td>X X</td>
</tr>
<tr>
<td>Registrar</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>X X</td>
<td></td>
</tr>
</tbody>
</table>

1. Initiation by the Dept. Chair also functions as Dept. Recommendation
2. Initiation by the College also functions as a College Decision
3. The Withdrawal option is available to the College role up until the petition enters a College Approved or College Denied status.
4. Each role has different restrictions as to which petitions may be viewed in the Queue.

Department Advisor

The Department Advisor role is intended for departments where a staff person would need to be able to enter a petition, but someone else would be responsible for recommending approval of the request. This role will only allow for the creation of petitions associated with major requirements or courses within the role’s department.

Department Chair:

This role is intended for the individual in the department that is responsible for recommending approval/denial of the petition for the department. This may be the actual Chair of the department or a faculty or staff designate. The person with this role may initiate and render a decision on their own petitions, and they may access the department My Work Queue to render a recommendation for petitions that had been previously initiated by a Department Advisor role and are in an “Awaiting Dept Chair Review” Status.

College:

This role is intended for advisors within the colleges. Accounts with this role may initiate and approve petitions for General Education or University requirements. They may also access a work queue to view, evaluate and approve or deny petitions approved
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by a department. Major petitions are assigned to an advisor with a College role based on rules provided by the college.

Users in a college role have additional capabilities to assign petitions to other advisors in a College role.

Upon approval by this role, most petitions will feed directly into uAchieve. Those that can not be entered automatically are placed in an “Awaiting Registrar Processing” status.

Registrar:
This role is assigned to Academic Services staff in the Office of the Registrar. Petitions that cannot be fed directly into uAchieve are placed in an “Awaiting Registrar Processing” status. Only ‘Other’ petitions and ‘Course Equivalency’ petitions with the Credit Adjustment Needed box checked are reviewed by someone in a Registrar role. All other petitions are fed into uAchieve after College Approval with no further review.

This role may only process the petition; they may not change the approval status or withdraw the petition.
User Notifications (E-mail Notifications)

Student Notifications
Notifications are sent to students for any petitions that have the ‘Notify Student’ box checked. Notifications are sent after a final decision has been rendered by the college. For petitions that require Registrar Processing, the notification emails are not sent until processing by the Registrar’s Office is completed.

An email notification is only sent the first time a petition is approved or denied. If subsequent notes are added to petition, they will not be forwarded to the student. In addition, students do not have any way to directly access the workflow, so any notes added to petition after a college decision should be conveyed to the student using another mechanism.

Notifications to the student include all of the information entered on the petition with the exception of the ‘Internal Comments’ field. Please remember that the contents of this field will be provided to the student should they ever request to view their entire student record.

Staff Notifications
Notifications are sent to Department Chair/Department Advisor roles when the petition enters a College Approved or College Denied status. Similar to the student notification, staff are not notified if any changes are made to the petition after the initial decision.

College Advisors do not receive any notification. This includes situations where a petition is placed in an ‘Awaiting Registrar Processing’ status prior to entering College Approved or College Denied.
Petition_statuses

The petition statuses are used to define a petition’s status in the approval process. It impacts what actions may be taken on a petition.

Awaiting Dept Chair Review

This status is assigned after a ‘Dept Advisor’ role has submitted a petition. Petitions in this status are visible in the My Work Queue for any users with a ‘Dept Chair’ role in the department that initiated the request.

Awaiting College Review

This status is assigned after a user with a ‘Dept Chair’ role has recommended approval of a petition. The petition is placed in an ‘Awaiting College Review’ status and a reviewer with a role of ‘College’ is assigned based on rules provided by the colleges.

Awaiting Registrar Processing

This status is assigned under one of the following conditions:

- One of these petition types in ‘Awaiting College Review’ is approved by someone in a College Role
  - All ‘Other’ petitions
  - Any ‘Universal Equivalency’ petition with the Credit Adjustment Needed box checked
  - Any petition for a student with a Degree Status of P, D, or F
- One of these petition types in a ‘College Approved’ status is subsequently denied by someone in a College role or withdrawn by someone in a department role.

Petitions in this status appear in the My Work Queue for staff with a Registrar role. After someone in a Registrar role processes the petition, the petition moves into the status that prompted the Registrar processing.

College Approved

Assigned to petitions approved by a user in a College role. It may be applied to petitions in an Awaiting College Review or College Denied status.

College Denied

Assigned to petitions denied by a user in a College role. It may be applied to petitions in an Awaiting College Review or College Denied status.
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**Withdrawn**

A user with a Department role may withdraw one of their petitions at any point in the process. A user with a College role may withdraw a petition while it is in an Awaiting College Review status.
My Work: Degree Audit Exceptions Queue

The ‘My Work’ option in AAA is the section that users with Dept. Chair, College or Registrar’s may access to view petitions that are awaiting approval.

The screen will default to showing a particular subset of petitions based on the user’s permissions.

- Dept. Chair: Shows petitions in ‘Awaiting Dept Chair Review’ that were submitted for a major from the user’s department.
- College: Shows petitions ‘Awaiting College Review’ that were Assigned to the user. After approval by the Dept Chair, petitions are assigned to a specific advisor based on the student’s major.
- Registrar: Displays petitions in ‘waiting Registrar Processing’.
Clicking on any one of the petitions will open the petition for display to the user. The sample below is a petition Awaiting College Approval.

### Degree Audit - Substitute Course(s) within an Area

<table>
<thead>
<tr>
<th>Petition ID:</th>
<th>14781</th>
</tr>
</thead>
<tbody>
<tr>
<td>Status:</td>
<td>Awaiting College Review</td>
</tr>
<tr>
<td>Date Submitted:</td>
<td>7/19/2022</td>
</tr>
<tr>
<td>Date Last Modified:</td>
<td>7/18/2022</td>
</tr>
</tbody>
</table>

**Program or CE Area:** Cellular and Developmental Biology  
**Catalog Year:**  
**Requirement:** CHEM 6A, CHEM 109A-B-C  
**Select Courses:**  
UCSB Fall 2011 - CHEM 109B - ORGANIC CHEMISTRY [B+, 4.00]  
UCSB Spring 2012 - CHEM 109C - ORGANIC CHEMISTRY [A, 4.00]  
GLENDALE Spring 2011 - CHEM 105/L: CHEM105 - Organic Chemistry w/Lab [C, 7.55]  
CHEM 6A  
CHEM 109A  
CHEM 109B  
CHEM 109C  
**Assigned To:** Paula Equida

**Justification:** Subject matter completed via this transfer coursework.

**Notify Student**  
**Accept PMP**

**Messages to Students:**

**Internal Comments:**

[Links for actions like return to queue, withdraw now, update, reassign now, approve, deny]
Exception Workflow Overview

DARS Exception Workflow Logic