

**DEAC BUSINESS EVALUATOR’S   
COMPLIANCE ASSESSMENT FORM**

## Instructions

The Distance Education Accrediting Commission requires all institutions to complete a Self-Evaluation Report when seeking accreditation. The process of self-evaluation serves two main purposes: (1) It provides an institution an opportunity to critically reflect on its operations, processes, and procedures at regular intervals and (2) it provides the on-site team with a comprehensive review of the institution, its mission, and its processes that are integral to delivering quality distance education.

The Self-Evaluation Report tells a story about the institution, beginning with its history and mission and then focusing on its evolution and future. Institutions have the opportunity to present their passion for serving students and providing educational options that will shape future generations. Institutions craft their story using the Self-Evaluation Report template as a guide while demonstrating how their policies and procedures meet DEAC accreditation standards.

The questions on this Compliance Assessment Form are designed to assist on-site team evaluators in determining whether institutions meet the intent of DEAC’s accreditation standards. Evaluators are not limited to the questions on this rating form. This rating form is for the evaluator’s use only. Evaluators do not need to send this rating form to DEAC.

DEAC evaluators decide whether institutions meet, partially meet, or do not meet accreditation standards. For any ratings of “partially meets” or “does not meet”, the evaluator must provide a “required action” that instructs the institution on what it needs to provide in order to demonstrate compliance with the identified standard. Evaluators should be careful to review institutions based only on the accreditation standards. Any recommendations beyond the scope of the accreditation standards should be provided in the suggestions section.

Findings guidelines:

* **Meets Standard:** The institution demonstrates compliance with the intent of the accreditation standard or core component.
* **Partially Meets Standard:** The institution was able to demonstrate compliance with some, but not all, of the elements contained in the accreditation standard or core component.
* **Does Not Meet Standard:** The institution was unable to demonstrate compliance with a majority of the elements contained in the accreditation standard or core component.

The business evaluator is responsible for reviewing institutions against Accreditation Standards II.B., VII, VIII.G., IX, X, XI, and XII.

Evaluators should refer to the *DEAC Accreditation Handbook and Guide for Self-Evaluation* for any further clarification on institutional requirements.

## DEAC Business Evaluator’s Compliance Assessment Form

Initial  Renewal  Special Visit

Institution Name: Insert institution name

Date of Visit: Date of on-site visit

Name of Evaluator: Evaluator name

Position on Team: Position on team

On-site Team Chair: Name of on-site team chair

Date Report Due to Chair: Date report is due

# Accreditation Standards

## Standard II: Institutional Effectiveness and Strategic Planning

1. **Strategic Planning:** The institution has a systematic process of planning for the achievement of goals that supports its mission. The institution’s planning process involves all areas of the institution’s operations (e.g., admissions, academics, technology, etc.) in identifying strategic initiatives and goals by evaluating external and internal trends as they affect the future. At a minimum, the strategic plan addresses finances, academics, technology, admissions, marketing, personnel, and institutional sustainability. The strategic plan is reviewed and updated annually using established metrics designed to measure achievement of strategic planning goals and objectives. The plan helps institutions set priorities, manage resources, and set goals for future performance.

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| **Questions** | **Yes** | **No** | **N/A** |
| Did the institution describe how its strategic planning efforts guide its pursuit of achieving its goals in support of its mission? |  |  |  |
| Did the institution provide a copy of its strategic plan? |  |  |  |
| Did the institution describe how it seeks input from internal and external stakeholders as a means of enhancing its strategic planning process? |  |  |  |
| Did the institution describe how the input received from internal and external stakeholders is used in its strategic planning process? |  |  |  |
| Did the institution identify areas for improvement via a SWOT Analysis (strengths, weaknesses, opportunities, and threats) or other means? |  |  |  |
| Does the institution’s strategic plan adequately identify proactive initiatives to achieve sustainability and protect itself against identified weaknesses and threats? |  |  |  |
| Did the institution describe how it aligns the resources needed with its identified strategic initiatives? |  |  |  |
| Does the institution’s strategic plan address the following: financial stability; development of educational offerings; integration of technology to enhance educational offerings; admissions processes; effective and accurate marketing campaigns to promote institutional sustainability; and professional development of leadership, faculty, and staff? |  |  |  |
| Did the institution describe the metrics that guide the achievement of its strategic planning goals and objectives? |  |  |  |
| Did the institution identify key achievements from its last strategic planning cycle that resulted in improvements to the educational offerings and administrative operations? |  |  |  |
| **Standard II.B. – Meets, Partially Meets, Does Not Meet, or Not Applicable** | Choose a finding. | | |

**Comments:** Provide comments to support the finding based on the institution’s responses and evidence provided prior to and during the on-site visit.

**Required Actions:** Provide the required actions necessary for the institution to demonstrate compliance with the accreditation standards. Each required action must correspond to an accreditation standard or a core component.

**Suggestions:** Suggestions are those recommendations that are not required to meet minimum accreditation standards but are provided to the institution as an opportunity for growth and improvement.

Standard VII: Advertising, Promotional Literature, and Recruitment Personnel

1. **Advertising and Promotion:** The institution conforms to ethical practices in all advertising and promotion to prospective students. All advertisements, website content, and promotional literature are truthful, accurate, clear, and readily accessible to the public; proactively states that programs are offered via distance education; and appropriately discloses occupational opportunities as applicable. Catalogs, enrollment agreements, manuals, and websites list the institution’s full name and physical address. At a minimum, all print advertisements and promotional literature include the institution’s city, state, and website home page URL where, in compliance with DEAC’s website disclosures checklist, the institution’s physical address is provided. All web-based advertisements provide a link to the institution’s website home page URL. All institutional social media account profiles provide a link to the institution’s website home page URL. The institution complies with the DEAC’s catalog disclosures checklist and DEAC’s website disclosures checklist.

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| **Questions** | **Yes** | **No** | **N/A** |
| Did the institution describe its approach to advertising and promotion of its programs? |  |  |  |
| Did the institution identify who is responsible for the institution’s marketing and advertising decisions? |  |  |  |
| Is the individual responsible for the institution’s marketing appropriately qualified by education or experience for this role? |  |  |  |
| Does the institution have adequate procedures in place to ensure that all advertisements, website content, and promotional materials are truthful, accurate, clear, and readily accessible to the public; proactively state that programs are offered via distance education; and appropriately disclose any occupational opportunities, as applicable? |  |  |  |
| Do all promotional materials, catalogs, enrollment agreements, manuals, and websites list the institution’s full name and physical address? |  |  |  |
| Do all web-based advertisements and social media account profiles provide a link to the institution’s website home page URL? |  |  |  |

**Comments:** Provide comments to support the finding based on the institution’s responses and evidence provided prior to and during the on-site visit.

**Required Actions:** Provide the required actions necessary for the institution to demonstrate compliance with the accreditation standards. Each required action must correspond to an accreditation standard or a core component.

**Suggestions:** Suggestions are those recommendations that are not required to meet minimum accreditation standards but are provided to the institution as an opportunity for growth and improvement.

* 1. All advertisements and promotional materials accurately reflect the programs and services offered by the institution. The word “guarantee” is never used in advertisements. Under limited and exceptional circumstances, institutions may use the word “free” when it is appropriate to the mission and purpose of the institution.

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| **Questions** | **Yes** | **No** | **N/A** |
| Do all advertisements and promotional materials accurately reflect the fact that educational offerings are delivered through distance education? |  |  |  |
| Does the institution have procedures in place to ensure that the word “guarantee” is never used? |  |  |  |
| If the word “free” is used, did the institution provide adequate evidence that shows that the use of the word is appropriate to the mission and purpose of the institution? |  |  |  |

**Comments:** Provide comments to support the finding based on the institution’s responses and evidence provided prior to and during the on-site visit.

**Required Actions:** Provide the required actions necessary for the institution to demonstrate compliance with the accreditation standards. Each required action must correspond to an accreditation standard or a core component.

**Suggestions:** Suggestions are those recommendations that are not required to meet minimum accreditation standards but are provided to the institution as an opportunity for growth and improvement.

* + 1. **In-Residence Program Component:** All required in-residence components and additional associated costs are disclosed on the institution’s websites, advertisements, and promotional materials.

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| **Questions** | **Yes** | **No** | **N/A** |
| Does the institution conducts in-residence program components? If not, this is not applicable. If the institution indicated that it does conduct in-residence program components, refer to the institution’s In-Residence Program Companion document and complete the related Report Template. |  |  |  |

* 1. The institution’s website testimonials and endorsements are truthful and less than four years old. The institution maintains signed student consent forms for each published testimonial. The institution’s website discloses all program requirements, course descriptions, tuition and related costs, program schedules, method of delivery, and its catalog prior to the collection of any personal student contact information. The institution does not use other institutions as triggers for its own sponsored links on Internet search engines.

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| **Questions** | **Yes** | **No** | **N/A** |
| Does the institution follow consistent processes for ensuring that all testimonials and endorsements are truthful and less than four years old? |  |  |  |
| Does the institution have adequate processes for obtaining and maintaining signed student consent forms for each published testimonial? |  |  |  |
| Does the institution use other institutions as triggers for its own sponsored links on Internet search engines? |  |  |  |

**Comments:** Provide comments to support the finding based on the institution’s responses and evidence provided prior to and during the on-site visit.

**Required Actions:** Provide the required actions necessary for the institution to demonstrate compliance with the accreditation standards. Each required action must correspond to an accreditation standard or a core component.

**Suggestions:** Suggestions are those recommendations that are not required to meet minimum accreditation standards but are provided to the institution as an opportunity for growth and improvement.

* 1. The institution discloses in its catalog, website, and enrollment agreements that the acceptance of earned transfer credits is determined by the receiving institution.

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| **Questions** | **Yes** | **No** | **N/A** |
| Does the institution appropriately publish transfer credit disclaimers in its catalog, website, and enrollment agreements? |  |  |  |

**Comments:** Provide comments to support the finding based on the institution’s responses and evidence provided prior to and during the on-site visit.

**Required Actions:** Provide the required actions necessary for the institution to demonstrate compliance with the accreditation standards. Each required action must correspond to an accreditation standard or a core component.

**Suggestions:** Suggestions are those recommendations that are not required to meet minimum accreditation standards but are provided to the institution as an opportunity for growth and improvement.

* 1. The institution adheres to applicable catalog, website, and enrollment agreement disclosures checklists, based on educational offerings. The institution publishes student consumer information as required by federal and state statute and regulations.

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| **Questions** | **Yes** | **No** | **N/A** |
| Is the institution in compliance with the DEAC catalog and website disclosures checklists? |  |  |  |
| Does the institution appropriately publish consumer information as required by federal and state statute and regulations? |  |  |  |

**Comments:** Provide comments to support the finding based on the institution’s responses and evidence provided prior to and during the on-site visit.

**Required Actions:** Provide the required actions necessary for the institution to demonstrate compliance with the accreditation standards. Each required action must correspond to an accreditation standard or a core component.

**Suggestions:** Suggestions are those recommendations that are not required to meet minimum accreditation standards but are provided to the institution as an opportunity for growth and improvement.

* 1. Any incentives offered to prospective and current students to enroll must be limited in nature to institution-branded items and in no event may such items exceed an aggregate value of $100 annually with respect to any individual.

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| **Questions** | **Yes** | **No** | **N/A** |
| Does the institution offer incentives to prospective and/or current students to enroll? |  |  |  |
| If incentives are offered, are they limited to only institution-branded items? |  |  |  |
| If incentives are offered, do they exceed an aggregate value of $100 annually with respect to any individual? |  |  |  |

**Comments:** Provide comments to support the finding based on the institution’s responses and evidence provided prior to and during the on-site visit.

**Required Actions:** Provide the required actions necessary for the institution to demonstrate compliance with the accreditation standards. Each required action must correspond to an accreditation standard or a core component.

**Suggestions:** Suggestions are those recommendations that are not required to meet minimum accreditation standards but are provided to the institution as an opportunity for growth and improvement.

* 1. The institution permanently archives its catalogs.

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| **Questions** | **Yes** | **No** | **N/A** |
| Does the institution permanently archive its catalogs? |  |  |  |

**Comments:** Provide comments to support the finding based on the institution’s responses and evidence provided prior to and during the on-site visit.

**Required Actions:** Provide the required actions necessary for the institution to demonstrate compliance with the accreditation standards. Each required action must correspond to an accreditation standard or a core component.

**Suggestions:** Suggestions are those recommendations that are not required to meet minimum accreditation standards but are provided to the institution as an opportunity for growth and improvement.

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| **Standard VII.A. – Meets, Partially Meets, Does Not Meet, or Not Applicable** | Choose a finding. |

1. **Institution and Course Accredited-Status Recognition:** The institution accurately reflects its accredited status and uses the official DEAC accreditation logo and/or statement of accreditation when publishing its accreditation status in advertisements and promotional materials on its website, and in social media. DEAC’s name, address, telephone number, and web address are published in the institution’s catalog.
   1. The institution publishes a statement of accreditation only as follows:
      * + Accredited by the Distance Education Accrediting Commission
        + DEAC Accredited
   2. The institution refers to DEAC’s recognition by the U.S. Department of Education only as follows: “The Distance Education Accrediting Commission is listed by the U.S. Department of Education as a recognized accrediting agency.”
   3. The institution refers to DEAC’s recognition by the Council for Higher Education Accreditation (CHEA) only as follows: “The Distance Education Accrediting Commission is recognized by the Council for Higher Education Accreditation (CHEA).”

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| **Questions** | **Yes** | **No** | **N/A** |
| Does the institution appropriately refer to its accredited status? |  |  |  |
| Does the institution appropriately refer to DEAC’s recognition by the U.S. Department of Education? |  |  |  |
| Does the institution appropriately refer to DEAC’s recognition by the Council for Higher Education Accreditation (CHEA)? |  |  |  |

**Comments:** Provide comments to support the finding based on the institution’s responses and evidence provided prior to and during the on-site visit.

**Required Actions:** Provide the required actions necessary for the institution to demonstrate compliance with the accreditation standards. Each required action must correspond to an accreditation standard or a core component.

**Suggestions:** Suggestions are those recommendations that are not required to meet minimum accreditation standards but are provided to the institution as an opportunity for growth and improvement.

* 1. The accredited institution publicly corrects any misleading or inaccurate information it releases on its accreditation status, contents of its on-site team reports from accreditation-related visits, and/or actions taken by the Distance Education Accrediting Commission with respect to the institution.

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| **Questions** | **Yes** | **No** | **N/A** |
| Does the institution follow adequate processes for publicly correcting any misleading or inaccurate information it releases on its DEAC accreditation status, content of its DEAC on-site team reports, or actions taken by DEAC? |  |  |  |
| Does the institution correct misleading or inaccurate information within an appropriate time frame? |  |  |  |

**Comments:** Provide comments to support the finding based on the institution’s responses and evidence provided prior to and during the on-site visit.

**Required Actions:** Provide the required actions necessary for the institution to demonstrate compliance with the accreditation standards. Each required action must correspond to an accreditation standard or a core component.

**Suggestions:** Suggestions are those recommendations that are not required to meet minimum accreditation standards but are provided to the institution as an opportunity for growth and improvement.

* 1. All courses and programs are approved by DEAC before the institution advertises or enrolls students in them. The institution uses the term “College” or “University” in its name only if it offers academic degree programs.

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| **Questions** | **Yes** | **No** | **N/A** |
| Does the institution follow adequate processes for ensuring that all courses and programs are approved by DEAC before it advertises them or enrolls students in them? |  |  |  |
| If the institution has “College” or “University” in its name, does the institution offer degree programs? |  |  |  |

**Comments:** Provide comments to support the finding based on the institution’s responses and evidence provided prior to and during the on-site visit.

**Required Actions:** Provide the required actions necessary for the institution to demonstrate compliance with the accreditation standards. Each required action must correspond to an accreditation standard or a core component.

**Suggestions:** Suggestions are those recommendations that are not required to meet minimum accreditation standards but are provided to the institution as an opportunity for growth and improvement.

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| **Standard VII.B. – Meets, Partially Meets, Does Not Meet, or Not Applicable** | Choose a finding. |

1. **Student Recruitment:** The institution demonstrates ethical processes and procedures are followed throughout the recruitment of prospective students by any individual who is authorized by the institution to participate in the enrollment process with prospective students. Minimum ethical practices and procedures are identified below.

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| **Questions** | **Yes** | **No** | **N/A** |
| Does the institution follow effective processes and procedures for enrolling prospective students? |  |  |  |
| Does the institution follow ethical processes and procedures when enrolling prospective students? |  |  |  |
| Are the qualifications of institution’s recruitment personnel adequate for the identified roles and responsibilities? |  |  |  |

**Comments:** Provide comments to support the finding based on the institution’s responses and evidence provided prior to and during the on-site visit.

**Required Actions:** Provide the required actions necessary for the institution to demonstrate compliance with the accreditation standards. Each required action must correspond to an accreditation standard or a core component.

**Suggestions:** Suggestions are those recommendations that are not required to meet minimum accreditation standards but are provided to the institution as an opportunity for growth and improvement.

* 1. The institution takes full responsibility for the actions, statements, and conduct of its authorized recruitment personnel. The institution maintains appropriate records, licensures, registrations, signed employment contract, and signed DEAC Code of Ethics, as applicable for all recruitment personnel. The institution demonstrates it adequately trains its recruitment personnel and provides them with accurate information concerning employment and remuneration. All authorized recruitment personnel are provided with appropriate materials covering applicable procedures, policies, and presentations. The institution demonstrates that it routinely monitors its recruitment personnel or independent organizations that provide prospective applicants names to assure they are in compliance with all state, federal, and DEAC recruitment practices.

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| **Questions** | **Yes** | **No** | **N/A** |
| Does the institution adequately supervise and monitor recruitment personnel? |  |  |  |
| Does the institution follow appropriate hiring practices for recruitment personnel? |  |  |  |
| Does the institution adequately train its recruitment personnel? |  |  |  |
| Does the institution require all recruitment personnel to sign the DEAC Code of Ethics? |  |  |  |
| Does the institution follow an adequate professional development policy for recruitment personnel? |  |  |  |
| Does the institution regularly review its materials used to enroll prospective students to ensure that they are up to date? |  |  |  |
| Does the institution follow adequate procedures for verifying that its recruitment materials are in compliance with all state, federal, and DEAC recruitment practices? |  |  |  |
| Does the institution have processes and criteria to evaluate recruitment personnel and are evaluations routinely conducted? |  |  |  |

**Comments:** Provide comments to support the finding based on the institution’s responses and evidence provided prior to and during the on-site visit.

**Required Actions:** Provide the required actions necessary for the institution to demonstrate compliance with the accreditation standards. Each required action must correspond to an accreditation standard or a core component.

**Suggestions:** Suggestions are those recommendations that are not required to meet minimum accreditation standards but are provided to the institution as an opportunity for growth and improvement.

* 1. All personnel involved in student recruitment, including telemarketing staff, conform to applicable federal, state, and international laws. Personnel involved in student recruitment may not be given and may not use any title that indicates special qualifications for career guidance, advising, or registration, nor may they publish advertisements without written authorization from the institution.

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| **Questions** | **Yes** | **No** | **N/A** |
| Does the institution have adequate processes in place to verify that recruitment personnel conform to applicable federal, state, and international laws? |  |  |  |
| Do recruitment personnel appropriately identify themselves to prospective students? |  |  |  |

**Comments:** Provide comments to support the finding based on the institution’s responses and evidence provided prior to and during the on-site visit.

**Required Actions:** Provide the required actions necessary for the institution to demonstrate compliance with the accreditation standards. Each required action must correspond to an accreditation standard or a core component.

**Suggestions:** Suggestions are those recommendations that are not required to meet minimum accreditation standards but are provided to the institution as an opportunity for growth and improvement.

* 1. If an institution offers students nominal gifts for referring prospective students to the institution who ultimately enroll in the institution, such gifts must be limited in nature to institution-branded items and in no event may exceed an aggregate value of $100 annually with respect to any individual.

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| **Questions** | **Yes** | **No** | **N/A** |
| Does the institution offer any incentives for making referrals? |  |  |  |
| If the institution offers incentives, are they limited to only institution-branded items? |  |  |  |
| If the institution offers incentives, do they exceed an aggregate value of $100 annually with respect to any individual? |  |  |  |

**Comments:** Provide comments to support the finding based on the institution’s responses and evidence provided prior to and during the on-site visit.

**Required Actions:** Provide the required actions necessary for the institution to demonstrate compliance with the accreditation standards. Each required action must correspond to an accreditation standard or a core component.

**Suggestions:** Suggestions are those recommendations that are not required to meet minimum accreditation standards but are provided to the institution as an opportunity for growth and improvement.

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| **Standard VII.C. – Meets, Partially Meets, Does Not Meet, or Not Applicable** | Choose a finding. |

## Standard VIII: Admission Practices and Enrollment Agreements

1. **Enrollment Agreements:** The institution’s enrollment agreements/documents clearly identify the educational offering and assure that each applicant is fully informed of the rights, responsibilities, and obligations of both the student and the institution prior to applicant signature. The institution complies with the DEAC Enrollment Agreements Disclosures Check List.

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| **Questions** | **Yes** | **No** | **N/A** |
| Do the institution’s enrollment agreements or other similar contractual documents clearly identify the educational offerings? |  |  |  |
| Do the institution’s enrollment agreements or other similar contractual documents verify that each applicant is fully informed of the rights, responsibilities, and obligations of both the student and the institution prior to the applicant’s signature? |  |  |  |
| Does the institution comply with the DEAC enrollment agreement disclosures checklist? |  |  |  |

**Comments:** Provide comments to support the finding based on the institution’s responses and evidence provided prior to and during the on-site visit.

**Required Actions:** Provide the required actions necessary for the institution to demonstrate compliance with the accreditation standards. Each required action must correspond to an accreditation standard or a core component.

**Suggestions:** Suggestions are those recommendations that are not required to meet minimum accreditation standards but are provided to the institution as an opportunity for growth and improvement.

* 1. The institution requires that, prior to accepting the enrollment agreement, students affirm and accept the tuition refund policy and the rights, responsibilities, and obligations of both the student and the institution. The terms of the tuition refund policy are published in the institution’s enrollment agreement, catalog, and website.

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| **Questions** | **Yes** | **No** | **N/A** |
| Does the institution require students to affirm and accept the tuition refund policy prior to accepting the enrollment agreement? |  |  |  |
| Does the institution disclose the rights, responsibilities, and obligations of both the student and the institution prior to accepting the enrollment agreement? |  |  |  |
| Are the terms of the tuition refund policy published in the institution’s enrollment agreement or other similar contractual agreement, in the catalog, and on the website? |  |  |  |

**Comments:** Provide comments to support the finding based on the institution’s responses and evidence provided prior to and during the on-site visit.

**Required Actions:** Provide the required actions necessary for the institution to demonstrate compliance with the accreditation standards. Each required action must correspond to an accreditation standard or a core component.

**Suggestions:** Suggestions are those recommendations that are not required to meet minimum accreditation standards but are provided to the institution as an opportunity for growth and improvement.

* 1. An enrollment agreement is not binding until it has been submitted by the student and accepted by the institution. A copy of the accepted enrollment agreement is made available to the student within 10 days of acceptance and maintained as a part of the student’s record.

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| **Questions** | **Yes** | **No** | **N/A** |
| Does the institution follow a process for accepting enrollment agreements? |  |  |  |
| Does the institution provide students a copy of the accepted enrollment agreement within 10 days of acceptance? |  |  |  |
| Does the institution maintain the enrollment agreement as a part of the student’s record? |  |  |  |

**Comments:** Provide comments to support the finding based on the institution’s responses and evidence provided prior to and during the on-site visit.

**Required Actions:** Provide the required actions necessary for the institution to demonstrate compliance with the accreditation standards. Each required action must correspond to an accreditation standard or a core component.

**Suggestions:** Suggestions are those recommendations that are not required to meet minimum accreditation standards but are provided to the institution as an opportunity for growth and improvement.

* 1. The institution complies with the applicable Truth in Lending Act (TILA) requirements, including those under Regulation Z, and state requirements for retail installment agreements.

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| **Questions** | **Yes** | **No** | **N/A** |
| Is the institution in compliance with applicable Truth in Lending Act (TILA) requirements, including those under Regulation Z, and state requirements for retail installment agreements? |  |  |  |
| Does the institution employ an individual responsible for verifying compliance with all Truth in Lending Act (TILA) requirements? |  |  |  |
| Does the identified individual participate in adequate activities to stay up to date on Truth in Lending Act (TILA) requirements? |  |  |  |

**Comments:** Provide comments to support the finding based on the institution’s responses and evidence provided prior to and during the on-site visit.

**Required Actions:** Provide the required actions necessary for the institution to demonstrate compliance with the accreditation standards. Each required action must correspond to an accreditation standard or a core component.

**Suggestions:** Suggestions are those recommendations that are not required to meet minimum accreditation standards but are provided to the institution as an opportunity for growth and improvement.

* 1. All required state and Truth in Lending Act disclosures are included on the enrollment agreement. Requirements for type size, notice to buyer and computations examples, as applicable, are observed.

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| --- | --- | --- | --- |
| **Questions** | **Yes** | **No** | **N/A** |
| Does the institution publish all required state and Truth in Lending Act (TILA) disclosures on the enrollment agreement? |  |  |  |
| Do the published Truth in Lending Act (TILA) disclosures meet requirements for type size, notice to buyer, and computation examples, as applicable? |  |  |  |

**Comments:** Provide comments to support the finding based on the institution’s responses and evidence provided prior to and during the on-site visit.

**Required Actions:** Provide the required actions necessary for the institution to demonstrate compliance with the accreditation standards. Each required action must correspond to an accreditation standard or a core component.

**Suggestions:** Suggestions are those recommendations that are not required to meet minimum accreditation standards but are provided to the institution as an opportunity for growth and improvement.

* 1. If there is a separate payment contract, the contract is incorporated in the enrollment agreement.

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| **Questions** | **Yes** | **No** | **N/A** |
| Does the institution incorporate any separate payment contract into the enrollment agreement? |  |  |  |

**Comments:** Provide comments to support the finding based on the institution’s responses and evidence provided prior to and during the on-site visit.

**Required Actions:** Provide the required actions necessary for the institution to demonstrate compliance with the accreditation standards. Each required action must correspond to an accreditation standard or a core component.

**Suggestions:** Suggestions are those recommendations that are not required to meet minimum accreditation standards but are provided to the institution as an opportunity for growth and improvement.

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| **Standard VIII.G. – Meets, Partially Meets, Does Not Meet, or Not Applicable** | Choose a finding. |

## Standard IX: Financial Disclosures, Cancellations, and Refund Policies

1. **Financial Disclosures:** All costs relative to the education provided by the institution are disclosed to the prospective student [in an enrollment agreement or similar contractual document] before enrollment. Costs must include tuition, educational services, textbooks, and instructional materials; any specific fees associated with enrollment, such as application and registration fees; and fees for required services such as student authentication, proctoring, technology access, and library services.

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| **Questions** | **Yes** | **No** | **N/A** |
| Does the institution adequately disclose to prospective students prior to enrollment all costs associated with the education provided? |  |  |  |
| Do all costs associated with the education provided include tuition, educational services, textbooks, and instructional materials, as well as application, registration, authentication, proctoring, technology access, and library services fees? |  |  |  |

**Comments:** Provide comments to support the finding based on the institution’s responses and evidence provided prior to and during the on-site visit.

**Required Actions:** Provide the required actions necessary for the institution to demonstrate compliance with the accreditation standards. Each required action must correspond to an accreditation standard or a core component.

**Suggestions:** Suggestions are those recommendations that are not required to meet minimum accreditation standards but are provided to the institution as an opportunity for growth and improvement.

* 1. The costs for optional services, such as expedited shipment of materials, experiential portfolio assessment, or other special services, such as dissertation binding, are clearly disclosed to prospective students as not subject to refund after the five (5) calendar day student-right-to-cancel enrollment.

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| --- | --- | --- | --- |
| **Questions** | **Yes** | **No** | **N/A** |
| Does the institution adequately and clearly disclose to prospective students prior to enrollment all costs for optional services, such as expedited shipment, experiential portfolio assessment, or other special services? |  |  |  |
| Does the institution adequately publish that costs for identified optional services are not subject to refund after the five (5)-calendar-day student right to cancel enrollment? |  |  |  |

**Comments:** Provide comments to support the finding based on the institution’s responses and evidence provided prior to and during the on-site visit.

**Required Actions:** Provide the required actions necessary for the institution to demonstrate compliance with the accreditation standards. Each required action must correspond to an accreditation standard or a core component.

**Suggestions:** Suggestions are those recommendations that are not required to meet minimum accreditation standards but are provided to the institution as an opportunity for growth and improvement.

* 1. The institution’s disclosure of its refund policy must include a sample refund calculation that describes the calculation methodology using clear and conspicuous language. Student acknowledgement of the refund policy is obtained and documented in the enrollment agreement or similar contractual document prior to enrollment.

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| --- | --- | --- | --- |
| **Questions** | **Yes** | **No** | **N/A** |
| Does the institution’s refund policy include a sample refund calculation that describes the calculation methodology using clear and conspicuous language? |  |  |  |
| Does the institution obtain the applicant’s acknowledgement of the refund policy that is documented on the enrollment agreement or similar contractual document prior to enrollment? |  |  |  |

**Comments:** Provide comments to support the finding based on the institution’s responses and evidence provided prior to and during the on-site visit.

**Required Actions:** Provide the required actions necessary for the institution to demonstrate compliance with the accreditation standards. Each required action must correspond to an accreditation standard or a core component.

**Suggestions:** Suggestions are those recommendations that are not required to meet minimum accreditation standards but are provided to the institution as an opportunity for growth and improvement.

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| **Standard IX.A. – Meets, Partially Meets, Does Not Meet, or Not Applicable** | Choose a finding. |

1. **Cancellations:** 
   1. Institutions must maintain, publish, and apply fair and equitable cancellation and withdrawal policies. A student’s notification of cancellation may be conveyed to the institution in any manner the institution deems appropriate so long as the method or methods chosen
      1. are in compliance with applicable federal and state requirements and
      2. do not create unreasonably difficult requirements for the student to satisfy.

Institutions must designate the manner in which students may submit cancellation or withdrawal notification and the individual, office, or offices to whom students may submit notice of official cancellation or withdrawal.

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| **Questions** | **Yes** | **No** | **N/A** |
| Does the institution describe its cancellation and withdrawal policies? |  |  |  |
| Does the institution describe how students are required to convey their cancellation or withdrawal to the institution? |  |  |  |
| Does the institution identify the individual, office, or offices to whom students may submit their notification? |  |  |  |
| Is the institution’s required method of cancellation/withdrawal notification in compliance with applicable federal and state requirements? |  |  |  |
| Can the institution’s required method of cancellation/withdrawal notification be reasonably satisfied by students? |  |  |  |

**Comments:** Provide comments to support the finding based on the institution’s responses and evidence provided prior to and during the on-site visit.

**Required Actions:** Provide the required actions necessary for the institution to demonstrate compliance with the accreditation standards. Each required action must correspond to an accreditation standard or a core component.

**Suggestions:** Suggestions are those recommendations that are not required to meet minimum accreditation standards but are provided to the institution as an opportunity for growth and improvement.

* 1. A student has five (5) calendar days after signing an enrollment agreement or similar contractual document to cancel enrollment and receive a full refund of all monies paid to the institution.

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| Does the institution allow students a minimum of five (5) calendar days after signing an enrollment agreement or similar contractual document to cancel enrollment and receive a full refund of all monies paid to the institution? |  |  |  |

**Comments:** Provide comments to support the finding based on the institution’s responses and evidence provided prior to and during the on-site visit.

**Required Actions:** Provide the required actions necessary for the institution to demonstrate compliance with the accreditation standards. Each required action must correspond to an accreditation standard or a core component.

**Suggestions:** Suggestions are those recommendations that are not required to meet minimum accreditation standards but are provided to the institution as an opportunity for growth and improvement.

* 1. A student requesting cancellation more than five calendar days after signing an enrollment agreement, but prior to beginning a course or program is entitled to a refund of all monies paid minus:   
     + - An application/transfer credit evaluation fee of up to $75;
       - A one-time registration fee per program of no more than 20% of the tuition and not to exceed more than $200; and
       - Library services fee, if provided by a third-party service (e.g., LIRN, Westlaw, ProQuest, EBSCO)

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| **Questions** | **Yes** | **No** | **N/A** |
| Do students who cancel more than five calendar days after signing an enrollment agreement but prior to beginning a course or program receive a refund of all monies paid minus an application fee, one-time registration fee, and third-party library services fee? |  |  |  |

**Comments:** Provide comments to support the finding based on the institution’s responses and evidence provided prior to and during the on-site visit.

**Required Actions:** Provide the required actions necessary for the institution to demonstrate compliance with the accreditation standards. Each required action must correspond to an accreditation standard or a core component.

**Suggestions:** Suggestions are those recommendations that are not required to meet minimum accreditation standards but are provided to the institution as an opportunity for growth and improvement.

* 1. Upon cancellation, a student whose costs for education are paid in full, but who is not eligible for a refund, is entitled to receive all materials including kits and equipment.

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| **Questions** | **Yes** | **No** | **N/A** |
| Do students who cancel after paying in full but are not eligible for a refund receive all materials, kits, and equipment, as applicable? |  |  |  |

**Comments:** Provide comments to support the finding based on the institution’s responses and evidence provided prior to and during the on-site visit.

**Required Actions:** Provide the required actions necessary for the institution to demonstrate compliance with the accreditation standards. Each required action must correspond to an accreditation standard or a core component.

**Suggestions:** Suggestions are those recommendations that are not required to meet minimum accreditation standards but are provided to the institution as an opportunity for growth and improvement.

* 1. If promissory notes or enrollment agreements are sold to third parties, the institution ensures that it and any third parties comply with DEAC cancellation policies.

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| **Questions** | **Yes** | **No** | **N/A** |
| Does the institution ensure compliance with DEAC cancellation policies if promissory notes or enrollment agreements are sold to third parties? |  |  |  |

**Comments:** Provide comments to support the finding based on the institution’s responses and evidence provided prior to and during the on-site visit.

**Required Actions:** Provide the required actions necessary for the institution to demonstrate compliance with the accreditation standards. Each required action must correspond to an accreditation standard or a core component.

**Suggestions:** Suggestions are those recommendations that are not required to meet minimum accreditation standards but are provided to the institution as an opportunity for growth and improvement.

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| **Standard IX.B. – Meets, Partially Meets, Does Not Meet, or Not Applicable** | Choose a finding. |

1. **Refunds:** Each institution must have and implement a fair and equitable refund policy in compliance with state requirements or, in the absence of such requirements, in accordance with DEAC’s refund policy standards below and disclosed in the enrollment agreement or similar contractual document.

Any money due a student must be refunded within 30 days of a cancellation request, regardless of whether materials have been returned.

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| **Questions** | **Yes** | **No** | **N/A** |
| Does the institution implement a fair and equitable refund policy in compliance with state requirements or, in the absence of such requirements, in accordance with DEAC’s refund policy standards? |  |  |  |
| Is the institution’s refund policy published on its website? |  |  |  |
| Is the institution’s process adequate for refunding a student’s tuition after a cancellation, withdrawal, or course drop request is received? |  |  |  |
| Did the institution properly process refunds requested in the last 12 months, based on its published refund policy? |  |  |  |

**Comments:** Provide comments to support the finding based on the institution’s responses and evidence provided prior to and during the on-site visit.

**Required Actions:** Provide the required actions necessary for the institution to demonstrate compliance with the accreditation standards. Each required action must correspond to an accreditation standard or a core component.

**Suggestions:** Suggestions are those recommendations that are not required to meet minimum accreditation standards but are provided to the institution as an opportunity for growth and improvement.

* 1. **Flexible Time Schedule Refund Policy:** An institution that implements the flexible time schedule refund policy must clearly disclose the curriculum benchmarks in terms of assignments submitted for grading that indicate completion at 10 percent, 25 percent, and 50 percent intervals.

When a student cancels after completing at least one lesson assignment, but less than 50 percent of the graded assignments, the institution may retain the application fee and one-time registration fee of no more than 20 percent of the tuition (not to exceed $200), and library services fees, plus a percentage of tuition paid by the student in accordance with the published schedule.

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| **Questions** | **Yes** | **No** | **N/A** |
| If the institution uses a flexible time schedule refund policy, do the curriculum benchmarks established by the institution indicate completion at 10 percent, 25 percent, and 50 percent intervals? |  |  |  |
| Did the institution provide an example of a refund calculation processed in the last calendar year based on the flexible time schedule refund policy? |  |  |  |
| Is the institution’s flexible time schedule refund policy fair and equitable to students? |  |  |  |

**Comments:** Provide comments to support the finding based on the institution’s responses and evidence provided prior to and during the on-site visit.

**Required Actions:** Provide the required actions necessary for the institution to demonstrate compliance with the accreditation standards. Each required action must correspond to an accreditation standard or a core component.

**Suggestions:** Suggestions are those recommendations that are not required to meet minimum accreditation standards but are provided to the institution as an opportunity for growth and improvement.

* 1. **Time-Based Term Refund Policy:** A time-based term last no more than 16 weeks.

A time-based term refund policy may be applied to any course, program, or degree. Institutions that utilize the time-based term refund policy must refund 100 percent of the tuition for any course never started. Institutions that implement the time-based term refund policy must clearly disclose the time-based refund schedule on the enrollment agreement.

When enrolling students in an academic program of study comprised of two or more courses that award semester credit hours, institutions must treat each course separately for the purposes of calculating the appropriate amount of tuition refund owed to the student.

When a student cancels enrollment, the institution may retain the application fee and a one-time registration fee of no more than 20 percent of the tuition (not to exceed $200), and library services fees, plus a percentage of tuition paid by the student in accordance with the published refund schedule.

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| **Questions** | **Yes** | **No** | **N/A** |
| Did the institution provide an example of a refund calculation processed in the last calendar year based on the time-based term refund policy? |  |  |  |
| Is the institution’s time-based term refund policy fair and equitable to students? |  |  |  |

**Comments:** Provide comments to support the finding based on the institution’s responses and evidence provided prior to and during the on-site visit.

**Required Actions:** Provide the required actions necessary for the institution to demonstrate compliance with the accreditation standards. Each required action must correspond to an accreditation standard or a core component.

**Suggestions:** Suggestions are those recommendations that are not required to meet minimum accreditation standards but are provided to the institution as an opportunity for growth and improvement.

* 1. **Refund Policy for In-Residence Courses/Programs:** For a course/program that includes mandatory in-residence training, the costs for the distance study portion and the costs for the in-residence portion must be separately stated in the enrollment agreement.

The distance study portion of the combination course/program must use the refund policy stated in Section IX(C)(1) or Section IX(C)(2). If the mandatory in-residence portion of the course/program is more than six weeks, the institution may use the time-based refund policy in Section IX(C)(2). If the in-residence portion is less than six weeks, the institution may use the flexible time schedule refund policy in IX(C)(1).

If a student requests cancellation after attending the first in-residence class session, the institution may retain the application fee and a one-time registration fee of no more than 20 percent of the tuition, not to exceed $200, and library service fees, plus a percentage of tuition paid by the student in accordance with the published refund schedule.

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| **Questions** | **Yes** | **No** | **N/A** |
| Does the institution conduct in-residence courses/programs? If not, this is not applicable. If the institution indicated that it does conduct in-residence courses/programs, refer to the institution’s In-Residence Program Companion document and complete the related Report Template. |  |  |  |

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| **Standard IX.C. – Meets, Partially Meets, Does Not Meet, or Not Applicable** | Choose a finding. |

1. **Discounts:** Discounted costs are permitted for well-defined groups for specific and bona fide purposes.

Discounted costs must indicate the actual reduction in the costs that would otherwise be charged by the institution. Institutions that offer discounts must demonstrate that students are enrolled in non-discounted courses or programs for a reasonably substantial period of time during each calendar year. An institution offering discounts must calculate refunds based on discounted costs.

An institution that offers discounts must demonstrate that:

* + - * All discounts or special offers identify the specific costs for a course or program.
      * The presentation of discounts and special offers complies with DEAC’s advertising and promotion standards.
      * All discounts (excluding those offered to well-defined groups) or special offers designate a specific expiration date and do not extend beyond the expiration date.

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| **Questions** | **Yes** | **No** | **N/A** |
| Does the institution offer discounts? |  |  |  |
| Does the institution identify well-defined groups that receive discounts? |  |  |  |
| Did the institution provide adequate reasoning for offering well-defined groups a discount? |  |  |  |
| Is information on discounts published in the institution’s advertising and marketing materials, including the catalog and website? |  |  |  |
| Does the institution enroll students in non-discounted courses or programs for a reasonably substantial period of time during each calendar year? |  |  |  |
| Does the institution follow its published refund policy when calculating refunds based on discounted costs? |  |  |  |

**Comments:** Provide comments to support the finding based on the institution’s responses and evidence provided prior to and during the on-site visit.

**Required Actions:** Provide the required actions necessary for the institution to demonstrate compliance with the accreditation standards. Each required action must correspond to an accreditation standard or a core component.

**Suggestions:** Suggestions are those recommendations that are not required to meet minimum accreditation standards but are provided to the institution as an opportunity for growth and improvement.

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| **Standard IX.D. – Meets, Partially Meets, Does Not Meet, or Not Applicable** | Choose a finding. |

1. **Collections:** Collection procedures used by the institution or third parties reflect sound and ethical business practices. Tuition collection practices and procedures are fair, encourage students’ progress, and seek to retain their good will. Collection practices consider the rights and interests of the students and the institution.

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| **Questions** | **Yes** | **No** | **N/A** |
| Does the institution carry out collection procedures? |  |  |  |
| Do the institution’s collection procedures reflect sound and ethical business practices? |  |  |  |
| Does the institution carry out fair tuition collection practices that continue to encourage students’ progress and seek to retain their good will? |  |  |  |
| Do collection practices consider the rights and interests of the students and the institution? |  |  |  |
| **Standard IX.E. – Meets, Partially Meets, Does Not Meet, or Not Applicable** | Choose a finding. | | |

**Comments:** Provide comments to support the finding based on the institution’s responses and evidence provided prior to and during the on-site visit.

**Required Actions:** Provide the required actions necessary for the institution to demonstrate compliance with the accreditation standards. Each required action must correspond to an accreditation standard or a core component.

**Suggestions:** Suggestions are those recommendations that are not required to meet minimum accreditation standards but are provided to the institution as an opportunity for growth and improvement.

## Standard X: Institutional Governance

1. **Owners, Governing Board Members, Officials, and Administrators:** The institution’s owners, governing board members, officials, and administrators possess appropriate qualifications and experience for their positions and ability to oversee institutional operations. The owners, governing board members, officials, and administrators are knowledgeable and experienced in one or more aspects of educational administration, finance, teaching/learning, and distance study. The institution’s policies clearly delineate the duties and responsibilities of owners, governing board members, officials, and administrators. Individuals in leadership and managerial positions are qualified by education and experience.

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| **Questions** | **Yes** | **No** | **N/A** |
| Are the institution’s owner(s), governing board members, chief executive officer, and top institution administrators knowledgeable and experienced in educational administration? |  |  |  |
| Are the institution’s owner(s), governing board members, chief executive officer, and top institution administrators knowledgeable and experienced in overseeing quality financial practices necessary for ensuring institutional stability? |  |  |  |
| Are the institution’s owner(s), governing board members, chief executive officer, and top institution administrators knowledgeable and experienced in ensuring quality teaching and learning? |  |  |  |
| Are the institution’s owner(s), governing board members, chief executive officer, and top institution administrators knowledgeable and experienced in ensuring quality educational offerings delivered via distance education? |  |  |  |
| Does the institution have processes and policies that clearly delineate the duties and responsibilities of the owner(s), governing board members, chief executive officer, and top institution administrators? |  |  |  |
| Does the institution ensure that all individuals in leadership and managerial positions are qualified by education and experience? |  |  |  |
| Does the institution ensure that the owner(s), governing board members, chief executive officer, and top institution administrators remain current within the disciplines offered and the educational community? |  |  |  |
| **Standard X.A. – Meets, Partially Meets, Does Not Meet, or Not Applicable** | Choose a finding. | | |

**Comments:** Provide comments to support the finding based on the institution’s responses and evidence provided prior to and during the on-site visit.

**Required Actions:** Provide the required actions necessary for the institution to demonstrate compliance with the accreditation standards. Each required action must correspond to an accreditation standard or a core component.

**Suggestions:** Suggestions are those recommendations that are not required to meet minimum accreditation standards but are provided to the institution as an opportunity for growth and improvement.

1. **Reputation of Institution, Owners, Governing Board Members, Officials, and Administrators:** The institution and its owners, governing board members, officials, and administrators possess sound reputations, a record of integrity, and ethical conduct in their professional activities, business operations, and relations. The institution must promptly notify DEAC of any investigative, enforcement, legal or prosecutorial actions which may be initiated or which are current against the institution, its owners, governing board members, officials and administrators. Such notification shall include an explanation of the circumstances giving rise to such actions and the institution’s response to the same as well as its explanation of why such actions should not be deemed a concern with respect to the integrity of the named persons or institutions.

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| **Questions** | **Yes** | **No** | **N/A** |
| Do the institution’s owner(s), governing board members, chief executive officer, and top institution administrators possess sound reputations and records of integrity? |  |  |  |
| Do the institution’s owner(s), governing board members, chief executive officer, and top institution administrators practice ethical conduct in their professional activities, business operations, and business relations? |  |  |  |
| Were any owner(s), governing board members, chief executive officer, or top institution administrators debarred by federal or state authorities from participating in any funding programs? |  |  |  |
| Did the institution certify that it will promptly notify DEAC of any investigative, enforcement, legal or prosecutorial actions which may be initiated against the institution, its owners, governing board members, officials and administrators and that such notification shall include an explanation of the circumstances giving rise to such actions and the institution’s response to the same as well as its explanation of why such actions should not be deemed a concern with respect to the integrity of the named persons or institutions? |  |  |  |
| **Standard X.B. – Meets, Partially Meets, Does Not Meet, or Not Applicable** | Choose a finding. | | |

**Comments:** Provide comments to support the finding based on the institution’s responses and evidence provided prior to and during the on-site visit.

**Required Actions:** Provide the required actions necessary for the institution to demonstrate compliance with the accreditation standards. Each required action must correspond to an accreditation standard or a core component.

**Suggestions:** Suggestions are those recommendations that are not required to meet minimum accreditation standards but are provided to the institution as an opportunity for growth and improvement.

1. **Succession Plan:** The institution has written plans that describes the process that it follows in the event a leadership succession is necessary. The plan identifies specific people, committees, or boards responsible to carry on the operation of the institution during the transition period. The plan includes a business continuity structure that the institution can implement immediately. The institution reviews and revises the plan on an annual basis.

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| **Questions** | **Yes** | **No** | **N/A** |
| Does the institution’s succession plan identify events that would initiate a succession of leadership? |  |  |  |
| Did the institution identify the leadership, administrators, staff, committees, or boards responsible for carrying on its operations during the transition period? |  |  |  |
| Does the institution’s business continuity structure provide assurances that students’ education and services will not be disrupted during the transition period? |  |  |  |
| Are the business continuity procedures structured for immediate implementation, if necessary? |  |  |  |
| Is the institution’s succession plan reviewed and revised, as necessary, on a regular basis? |  |  |  |
| Does the institution involve appropriate individuals in reviewing and revising the succession plan? |  |  |  |
| **Standard X.C. – Meets, Partially Meets, Does Not Meet, or Not Applicable** | Choose a finding. | | |

**Comments:** Provide comments to support the finding based on the institution’s responses and evidence provided prior to and during the on-site visit.

**Required Actions:** Provide the required actions necessary for the institution to demonstrate compliance with the accreditation standards. Each required action must correspond to an accreditation standard or a core component.

**Suggestions:** Suggestions are those recommendations that are not required to meet minimum accreditation standards but are provided to the institution as an opportunity for growth and improvement.

## Standard XI: Financial Responsibility

1. **Financial Practices:** The institution shows it is financially responsible by providing complete, comparative financial statements covering its two most recent fiscal years and by demonstrating that it has sufficient resources to meet its financial obligations to provide quality instruction and service to its students. Financial statements are audited or reviewed and prepared in conformity with generally accepted accounting principles in the United States of America or International Financial Reporting Standards. The institution’s budgeting processes demonstrate that current and future budgeted operating results are sufficient to allow the institution to accomplish its mission and goals.

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| --- | --- | --- | --- |
| **Questions** | **Yes** | **No** | **N/A** |
| Do the institution’s audited or reviewed comparative financial statements demonstrate financial responsibility? |  |  |  |
| Does the institution maintain sufficient resources to meet its financial obligations and provide quality educational offerings and service to students? |  |  |  |
| Are the institution’s financial statements regularly audited or reviewed? |  |  |  |
| Are the institution’s financial statements prepared in conformity with generally accepted accounting principles in the United States of America or International Financial Reporting Standards? |  |  |  |
| Are the institution’s budgeting processes adequate, and do they conform to accepted best practices? |  |  |  |
| Are the individuals responsible for creating and monitoring the institution’s budget qualified by education and experience? |  |  |  |
| Does the institution’s budgeting process ensure that current and future operating results are sufficient to allow it to accomplish its mission and goals? |  |  |  |
| Is the institution profitable? For nonprofits, does the institution have an excess of revenues over costs? |  |  |  |
| If the institution is not profitable, did the institution develop strategic initiatives designed to achieve a positive operating result sufficient to fund future operations? |  |  |  |
| Does the institution have the resources necessary to fulfill all obligations to students in the event that a teach-out is required? |  |  |  |
| Are the institution’s current assets sufficient to meet current liabilities? |  |  |  |
| Does the institution use cost control and analysis systems to ensure that it maintains sufficient current assets to fund a teach-out of students? |  |  |  |
| Have the institution’s owner(s) or governing board members ever declared bankruptcy? |  |  |  |
| If the institution is a sole proprietorship or partnership, have the owner(s), governing board members, chief executive officer, or top institution administrators have ever declared bankruptcy? |  |  |  |
| Does the institution maintain reserves for honoring future service obligations, bad debts, and refunds? |  |  |  |
| **Standard XI.A. – Meets, Partially Meets, Does Not Meet, or Not Applicable** | Choose a finding. | | |

**Comments:** Provide comments to support the finding based on the institution’s responses and evidence provided prior to and during the on-site visit.

**Required Actions:** Provide the required actions necessary for the institution to demonstrate compliance with the accreditation standards. Each required action must correspond to an accreditation standard or a core component.

**Suggestions:** Suggestions are those recommendations that are not required to meet minimum accreditation standards but are provided to the institution as an opportunity for growth and improvement.

1. **Financial Management:** Individuals overseeing the fiscal and budgeting processes are qualified by education and experience. The institution employs adequate administrative staff for effective operations, and at least one person is qualified and able to prepare accurate financial reports in a timely manner. Internal auditing trails and controls are in place to assure that finances are properly managed, monitored, and protected. Adequate safeguards prevent unauthorized access to online and onsite financial information.

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| --- | --- | --- | --- |
| **Questions** | **Yes** | **No** | **N/A** |
| Are the individuals responsible for preparing the institution’s financial reports and budgets qualified by education and experience? |  |  |  |
| Are financial reports and budgets regularly prepared? |  |  |  |
| Does the institution employ an individual, internally or a third party, who is responsible for reviewing and approving financial reports and budgets? |  |  |  |
| Is bonding or insurance required to insure against fraudulent conduct? |  |  |  |
| Do the institution’s internal auditing and control processes ensure that finances are properly managed, monitored, and protected? |  |  |  |
| Does the institution have adequate processes in place to protect online and on-site financial data from unauthorized access? |  |  |  |
| Does the institution take proactive steps to protect student and financial information from unauthorized access or threats? |  |  |  |
| Do the institution’s accounts payable (numbers, amounts, and age) reflect sound financial responsibility and management? |  |  |  |
| Does the institution maintain adequate inventories of course or instructional materials for current and future students? |  |  |  |
| Does the institution maintain adequate insurance coverage? |  |  |  |
| Has the institution filed any significant insurance claims in the past three to five years? |  |  |  |
| **Standard XI.B. – Meets, Partially Meets, Does Not Meet, or Not Applicable** | Choose a finding. | | |

**Comments:** Provide comments to support the finding based on the institution’s responses and evidence provided prior to and during the on-site visit.

**Required Actions:** Provide the required actions necessary for the institution to demonstrate compliance with the accreditation standards. Each required action must correspond to an accreditation standard or a core component.

**Suggestions:** Suggestions are those recommendations that are not required to meet minimum accreditation standards but are provided to the institution as an opportunity for growth and improvement.

1. **Financial Stability and Sustainability:** The institution maintains adequate administrative staff and other resources to operate effectively as a going concern and is not exposed to undue or insurmountable risk. Any risk that exists is adequately monitored, manageable, and insured. In the event the financial operations of the institution are supported by a parent company or a third party, audited or reviewed financial statements are provided by the supporting entity to demonstrate that the supporting entity possesses sufficient financial resources to provide the institution continued financial sustainability, as well as the commitment to do so. If the institution’s financial performance is included within the parent corporation’s statements, a supplemental schedule for the individual institution is appended to the parent statement.

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| **Questions** | **Yes** | **No** | **N/A** |
| Does the institution employ administrative staff qualified by education and experience to ensure that the institution can operate effectively as a going concern and is not exposed to undue or insurmountable risk? |  |  |  |
| Does the institution have adequate procedures in place to monitor, manage, and insure identified risks? |  |  |  |
| Is the institution supported by a parent company or third party? |  |  |  |
| If the institution is supported by a parent company or third party, is the supporting entity’s level of administrative and financial involvement adequate to promote the institution’s continued financial sustainability? |  |  |  |
| Is the parent company or third party’s stated commitment to supporting the institution sufficient? |  |  |  |
| Does the parent company or third party possess sufficient financial resources and commitment to provide the institution continued financial sustainability? |  |  |  |
| If the institution’s financial performance is included within the parent corporation or third party’s financial statements, did the institution provide adequate supplemental schedules disclosing its individual financial status? |  |  |  |
| **Standard XI.C. – Meets, Partially Meets, Does Not Meet, or Not Applicable** | Choose a finding. | | |

**Comments:** Provide comments to support the finding based on the institution’s responses and evidence provided prior to and during the on-site visit.

**Required Actions:** Provide the required actions necessary for the institution to demonstrate compliance with the accreditation standards. Each required action must correspond to an accreditation standard or a core component.

**Suggestions:** Suggestions are those recommendations that are not required to meet minimum accreditation standards but are provided to the institution as an opportunity for growth and improvement.

1. **Financial Reporting:** Financial statements are prepared in conformity with generally accepted accounting principles in the United States of America often referred to as “GAAP,” including the accrual method of accounting. An independent certified public accountants (CPA) audit or review report accompanies these statements.

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| **Questions** | **Yes** | **No** | **N/A** |
| Are the institution’s financial statements prepared in conformity with generally accepted accounting principles in the United States of America? |  |  |  |
| Does the institution use the accrual method of accounting? |  |  |  |
| Is the institution’s independent auditing firm qualified and experienced? |  |  |  |
| Did the independent auditor identify any deviations while conducting the institution’s audit? |  |  |  |
| Did the institution identify how it plans to address and resolve any identified challenges, anomalies, or threats? |  |  |  |
| Does the institution have procedures that enable it to continue operations if it received a going concern or liquidity footnote opinion from the independent auditing firm? |  |  |  |
| If a going concern or liquidity uncertainty was resolved through continued shareholder support, did the institution explain why the independent auditing firm did not accept the support as sufficient to avoid the going concern opinion or liquidity note? |  |  |  |

**Comments:** Provide comments to support the finding based on the institution’s responses and evidence provided prior to and during the on-site visit.

**Required Actions:** Provide the required actions necessary for the institution to demonstrate compliance with the accreditation standards. Each required action must correspond to an accreditation standard or a core component.

**Suggestions:** Suggestions are those recommendations that are not required to meet minimum accreditation standards but are provided to the institution as an opportunity for growth and improvement.

* 1. The institution’s financial statements reflect sufficient liquid assets to provide for a staff and faculty.

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| **Questions** | **Yes** | **No** | **N/A** |
| Do the institution’s financial statements reflect sufficient liquid assets to provide for staff and faculty? |  |  |  |

**Comments:** Provide comments to support the finding based on the institution’s responses and evidence provided prior to and during the on-site visit.

**Required Actions:** Provide the required actions necessary for the institution to demonstrate compliance with the accreditation standards. Each required action must correspond to an accreditation standard or a core component.

**Suggestions:** Suggestions are those recommendations that are not required to meet minimum accreditation standards but are provided to the institution as an opportunity for growth and improvement.

* 1. Annually, the institution has the option of submitting one of these two types of financial statements, unless the Commission directs the institution to submit audited financial statements:
     + - Audited comparative financial statements containing an audit opinion by an independent certified public accountant in accordance with standards established by the American Institution of Certified Public Accountants, or
       - Reviewed comparative financial statements containing a review report by an independent certified public accountant in accordance with standards established by the American Institute of Certified Public Accountants.

When circumstances raise a concern as to the financial soundness and stability of an institution, the Commission may, in its discretion, require that the institution deliver within a specified period of time (as reasonably determined by the Commission taking into account, for example, the exigency of the concerns and the size of the institution), audited comparative financial statements or such other financial documentation as the Commission may determine will provide information as to the institution’s financial health and status.

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| **Questions** | **Yes** | **No** | **N/A** |
| Did the institution provide either audited comparative or reviewed comparative financial statements in accordance with the above definitions? |  |  |  |
| Did the institution certify that it understands that the Commission may, in its discretion, require that the institution deliver audited comparative financial statements or such other financial documentation as determined necessary, when circumstances raise question as to the institution’s financial soundness and stability? |  |  |  |

**Comments:** Provide comments to support the finding based on the institution’s responses and evidence provided prior to and during the on-site visit.

**Required Actions:** Provide the required actions necessary for the institution to demonstrate compliance with the accreditation standards. Each required action must correspond to an accreditation standard or a core component.

**Suggestions:** Suggestions are those recommendations that are not required to meet minimum accreditation standards but are provided to the institution as an opportunity for growth and improvement.

* 1. Financial statements submitted must include the institution’s fiscal statement for either the most recent fiscal year end or the date specified by the Commission, the CPA’s opinion letter or review report, and a letter of financial statement validation.

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| **Questions** | **Yes** | **No** | **N/A** |
| Did the institution submit its most recent fiscal year end audited or reviewed comparative financial statements, opinion letter or review report, and letter of financial statement validation? |  |  |  |

**Comments:** Provide comments to support the finding based on the institution’s responses and evidence provided prior to and during the on-site visit.

**Required Actions:** Provide the required actions necessary for the institution to demonstrate compliance with the accreditation standards. Each required action must correspond to an accreditation standard or a core component.

**Suggestions:** Suggestions are those recommendations that are not required to meet minimum accreditation standards but are provided to the institution as an opportunity for growth and improvement.

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| **Standard XI.D. – Meets, Partially Meets, Does Not Meet, or Not Applicable** | Choose a finding. |

1. **Demonstrated Operations:** In all respects, the institution documents continuous sound and ethical operations, including the necessary resources to accommodate demand and assure all learners receive a quality educational experience. The institution’s name is free from any association with activity that could damage the reputation of the DEAC accrediting process, such as illegal actions, fraud, unethical conduct, or abuse of consumers.

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| --- | --- | --- | --- |
| **Questions** | **Yes** | **No** | **N/A** |
| Does the institution maintain continuous sound and ethical operations? |  |  |  |
| Does the institution provide the resources necessary to accommodate student demand and ensure that all learners receive a quality distance education experience? |  |  |  |
| Is the institution free from any association with activity that could damage the standing of the accrediting process (e.g., illegal actions, unethical conduct, or abuse of consumers)? |  |  |  |
| **Standard XI.E. – Meets, Partially Meets, Does Not Meet, or Not Applicable** | Choose a finding. | | |

**Comments:** Provide comments to support the finding based on the institution’s responses and evidence provided prior to and during the on-site visit.

**Required Actions:** Provide the required actions necessary for the institution to demonstrate compliance with the accreditation standards. Each required action must correspond to an accreditation standard or a core component.

**Suggestions:** Suggestions are those recommendations that are not required to meet minimum accreditation standards but are provided to the institution as an opportunity for growth and improvement.

## Standard XII: Facilities, Equipment, Supplies, Record Protection and Retention

1. **Facilities, Equipment, and Supplies:** The institution maintains sufficient facilities, equipment, and supplies to achieve its mission and values and support its educational offerings and future operations. A written plan outlines the maintenance and upgrade of facilities, equipment, and supplies, and includes a disaster response and recovery plan. The plan states the resources that are budgeted to support its goals. Buildings, workspace, and equipment comply with local fire, building, health, and safety regulations and are appropriately equipped to handle the educational program(s) of the institution.

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| **Questions** | **Yes** | **No** | **N/A** |
| Do the institution’s facilities, equipment, and supplies promote the achievement of its mission and values? |  |  |  |
| Do the institution’s facilities, equipment, and supplies support its educational offerings and future operations? |  |  |  |
| Does the institution have a sufficient plan for maintenance that includes upgrades of its facilities, equipment, and supplies? |  |  |  |
| Does the institution have adequate disaster response and recovery procedures based on its geographical location? |  |  |  |
| Does the institution have adequate financial resources and budgets to maintain and upgrade its facilities and equipment? |  |  |  |
| Is the institution’s technical infrastructure adequate to ensure timely delivery of distance education and support services to accommodate future student enrollment growth? |  |  |  |
| Do the institution’s building, workspace, and equipment comply with local fire, building, health, and safety regulations? |  |  |  |
| Does the institution have adequate professional liability, property, and general liability insurance? |  |  |  |
| **Standard XII.A. – Meets, Partially Meets, Does Not Meet, or Not Applicable** | Choose a finding. | | |

**Comments:** Provide comments to support the finding based on the institution’s responses and evidence provided prior to and during the on-site visit.

**Required Actions:** Provide the required actions necessary for the institution to demonstrate compliance with the accreditation standards. Each required action must correspond to an accreditation standard or a core component.

**Suggestions:** Suggestions are those recommendations that are not required to meet minimum accreditation standards but are provided to the institution as an opportunity for growth and improvement.

1. **In-Residence Program Component:** The institution provides appropriate training facilities for students participating in in-residence training and information on housing, as applicable. The facilities are in compliance with all state and federal requirements. The institution maintains adequate insurance to protect students, faculty, and staff while participating in in-residence training.

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| **Questions** | **Yes** | **No** | **N/A** |
| Does the institution conduct in-residence program components? If not, this is not applicable. If the institution indicated that it does conduct in-residence program components, refer to the institution’s In-Residence Program Companion document and complete the related Report Template. |  |  |  |

1. **Record Protection:** The institution’s financial, administrative, and student educational records are maintained in a reasonably accessible place and are adequately protected in accordance with applicable federal and state laws.

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| **Questions** | **Yes** | **No** | **N/A** |
| Does the institution have adequate procedures for maintaining financial, administrative, and student records? |  |  |  |
| Does the institution follow proactive steps to protect financial, administrative, and student information from unauthorized access or threats? |  |  |  |
| Do the institution’s record maintenance and protection procedures comply with applicable federal and state laws? |  |  |  |
| Are physical records adequately secured on site? |  |  |  |
| Are digital records adequately secured and backed up to minimize data loss? |  |  |  |

**Comments:** Provide comments to support the finding based on the institution’s responses and evidence provided prior to and during the on-site visit.

**Required Actions:** Provide the required actions necessary for the institution to demonstrate compliance with the accreditation standards. Each required action must correspond to an accreditation standard or a core component.

**Suggestions:** Suggestions are those recommendations that are not required to meet minimum accreditation standards but are provided to the institution as an opportunity for growth and improvement.

* 1. If maintaining documents electronically, the institution provides audit records to verify that the images were properly created and validated.

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| --- | --- | --- | --- |
| **Questions** | **Yes** | **No** | **N/A** |
| Does the institution follow adequate procedures for properly creating and validating digital records? |  |  |  |

**Comments:** Provide comments to support the finding based on the institution’s responses and evidence provided prior to and during the on-site visit.

**Required Actions:** Provide the required actions necessary for the institution to demonstrate compliance with the accreditation standards. Each required action must correspond to an accreditation standard or a core component.

**Suggestions:** Suggestions are those recommendations that are not required to meet minimum accreditation standards but are provided to the institution as an opportunity for growth and improvement.

* 1. If an institution accepts digitally signed transcripts or electronically transferred verified data from an outside source, the institution documents the outside source using a system that provides registration and verification of participants, protocols for securely sending and receiving files, logging of file transmissions, and electronic notification. The outside source complies with all applicable laws and regulations governing the activities and services provided, including FERPA and other laws concerning the privacy and confidentiality of information and records.

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| **Questions** | **Yes** | **No** | **N/A** |
| Does the institution have an adequate process in place for accepting digital signatures on electronically processed documents (e.g., official transcripts, enrollment agreements)? |  |  |  |
| Does the institution follow adequate procedures to assure students that all transmitted information is adequately protected and in compliance with FERPA and other laws concerning privacy and confidentiality of student data? |  |  |  |

**Comments:** Provide comments to support the finding based on the institution’s responses and evidence provided prior to and during the on-site visit.

**Required Actions:** Provide the required actions necessary for the institution to demonstrate compliance with the accreditation standards. Each required action must correspond to an accreditation standard or a core component.

**Suggestions:** Suggestions are those recommendations that are not required to meet minimum accreditation standards but are provided to the institution as an opportunity for growth and improvement.

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| **Standard XII.C. – Meets, Partially Meets, Does Not Meet, or Not Applicable** | Choose a finding. |

1. **Record Retention:** The institution’s financial, administrative, and student educational records are retained in accordance with applicable federal and state laws. The institution implements a comprehensive document retention policy.

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| **Questions** | **Yes** | **No** | **N/A** |
| Does the institution follow adequate procedures for retaining financial, administrative, and student records in accordance with applicable federal and state laws? |  |  |  |
| Did the institution state how long financial records are maintained? |  |  |  |
| Did the institution state how long administrative records are maintained? |  |  |  |
| Did the institution state how long student records are maintained? |  |  |  |
| Does the institution implement an adequate comprehensive document retention policy? |  |  |  |
| Did the institution identify who is responsible for ensuring the proper retention of financial, administrative, and student records? |  |  |  |
| Does the institution conduct regular internal audits for compliance with all applicable federal and state laws? |  |  |  |
| **Standard XII.D. – Meets, Partially Meets, Does Not Meet, or Not Applicable** | Choose a finding. | | |

**Comments:** Provide comments to support the finding based on the institution’s responses and evidence provided prior to and during the on-site visit.

**Required Actions:** Provide the required actions necessary for the institution to demonstrate compliance with the accreditation standards. Each required action must correspond to an accreditation standard or a core component.

**Suggestions:** Suggestions are those recommendations that are not required to meet minimum accreditation standards but are provided to the institution as an opportunity for growth and improvement.

1. **State Authorization:**
   1. The institution is properly licensed, authorized, exempted, or approved by all applicable state education institutional authorizations (or their equivalent for non-U.S. institutions).
   2. Exemptions from state law are supported by state-issued documentation or in statutory language for that state.

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| --- | --- | --- | --- |
| **Questions** | **Yes** | **No** | **N/A** |
| Did the institution describe how it is properly licensed, authorized, exempted, or approved by all applicable state education institutional authorizations (or their non-U.S. institutional equivalent)? |  |  |  |
| Did the institution provide its DEAC State Authorization Form and documentation of its state licensures and authorizations? |  |  |  |
| Did the institution describe any exemptions from state law that it has determined, and did it describe the state-issued documentation or statutory language used to determine its exemption? |  |  |  |
| **Standard XII.E. – Meets, Partially Meets, Does Not Meet, or Not Applicable** | Choose a finding. | | |

**Comments:** Provide comments to support the finding based on the institution’s responses and evidence provided prior to and during the on-site visit.

**Required Actions:** Provide the required actions necessary for the institution to demonstrate compliance with the accreditation standards. Each required action must correspond to an accreditation standard or a core component.

**Suggestions:** Suggestions are those recommendations that are not required to meet minimum accreditation standards but are provided to the institution as an opportunity for growth and improvement.