

**FEDERAL FINANCIAL ASSISTANCE – SUBSTANTIVE CHANGE  
COMPLIANCE ASSESSMENT FORM**

## Instructions

The Distance Education Accrediting Commission requires all institutions to seeking to engage in Federal Student Assistance Title IV programs to obtain prior approval from the Commission and undergo an onsite visit. Prior approval serves two main purposes: 1) it provides institutions an opportunity to critically reflect on its operations, processes, and procedures prior to engaging in Federal Student Assistance Title IV programs and 2) it provides the onsite team with a comprehensive overview of the institution, its mission, and its processes that are integral to delivering quality distance education.

The questions on this Compliance Assessment Form are designed to assist onsite team evaluators in determining whether institutions meet DEAC Accreditation Standards related to participating in Federal Financial Assistance Title IV funding programs. 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.

**Note:** This compliance assessment form is for review of an institution’s Engaging in Federal Student Assistance Title IV Programs Post Approval Report. A separate compliance assessment form is available for review of an institution’s ongoing participation in Title IV Programs via the institution’s Federal Student Assistance – Companion Self-Evaluation Report.

**Note:** When information required directly aligns with a DEAC-Handbook Core Component, it is identified with the corresponding capital letter. When information required is unique to the Federal Financial Assistance compliance process, it is identified numerically.

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.

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

## Federal Financial Assistance Substantive Change Compliance Assessment Form

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 III: Program Outcomes, Curricula, and Materials

1. **Appropriate Program Outcomes:** The program outcomes are measurable and reasonably attainable through distance education. Appropriate program outcomes clearly communicate the knowledge, skills, and abilities students will obtain upon completion of the educational offering. Program outcomes reflect the level of student achievement expected that promotes critical thinking, ethical reasoning, social responsibility, global citizenship, civic engagement, or lifelong learning as applicable to the educational offerings.

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| **Questions** | **Yes** | **No** | **N/A** |
| Did the institution describe how it verifies that program outcomes are measurable and reasonably attainable through distance education? |  |  |  |
| Are the institution’s program outcomes measurable and reasonably attainable through distance education? |  |  |  |
| Did the institution describe how the program outcomes communicate the expected knowledge, skills, or abilities that students will gain upon completion of the educational offerings? |  |  |  |
| Did the institution describe how the program outcomes are appropriate to the type and level of credential being awarded (e.g., non-degree, undergraduate degree, graduate degree, and/or doctoral degree)? |  |  |  |
| Did the institution describe how the program outcomes promote the development of critical thinking, ethical reasoning, social responsibility, global citizenship, civic engagement, or lifelong learning, as applicable to the educational offerings? |  |  |  |
| Did the institution describe how program outcomes are comparable to the program outcomes of similar programs offered at appropriately accredited institutions? |  |  |  |
| Are the institution’s program outcomes comparable to the program outcomes of similar programs offered at appropriately accredited institutions? |  |  |  |
| **Standard III.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. **Academic Units of Measurement:** The institution documents policies and procedures used to define the chosen academic unit of measurement. Academic units are measured by either clock hours or credit hours.
   1. Clock Hours

The institution documents its implementation and application of policies and procedures for determining clock hours awarded for its courses and programs. A clock hour is one instructional hour. One instructional hour is defined as 50 minutes of instruction in a 60-minute period.

* 1. Credit Hours

The institution documents its implementation and application of policies and procedures for determining credit hours awarded for its courses and programs. The assignment of credit hours must conform to commonly accepted practices in higher education. A credit hour is defined as an amount of work represented by intended learning outcomes and verified through evidence of student achievement in academic activities.

* 1. Credit Hour Definition

Semester and quarter hours are equivalent to the commonly accepted and traditionally defined units of academic measurement. Academic degree or academic credit-bearing distance education courses are measured by the learning outcomes normally achieved through 45 hours of student work for one semester credit1 or 30 hours of student work for one quarter credit.2

1*One credit/semester hour is 15 hours of academic engagement and 30 hours of preparation.*

*2One quarter hour credit is 10 hours of academic engagement and 20 hours of preparation.*

* 1. Documenting Credit Hours

The institution demonstrates that each course and program requires the appropriate amount of work needed for students to achieve the level of competency defined by institutionally established course/program outcomes. The institution measures and documents the amount of time it takes the average student to achieve learning outcomes and specifies the academic engagement and preparation time.

All student work is documented in the curricula materials and syllabi, including a reasonable approximation of time required for students to complete the assignments. Evaluation of student work is identified as a grading criterion and weighted appropriately in the determination of a final course grade.

* 1. DEAC reviews the institution’s policies and procedures for defining its chosen academic unit of measurement and how they are measured, as defined in 34 CFR 600. DEAC evaluates the process an institution uses to award credits for courses and programs and makes a reasonable determination whether the institution’s assignment of credit hours conforms to commonly accepted practices in higher education.

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| **Questions** | **Yes** | **No** | **N/A** |
| Did the institution provide its policy for determining and assigning academic units of measurement? |  |  |  |
| Is the institution’s process for measuring and documenting the amount of time it takes the average student to achieve the learning outcomes (as a means of assigning academic units of measurement) adequate, based on accepted best practices? |  |  |  |
| Does the institution follow adequate processes for ensuring that all academic units of measurement are assigned based on the level of educational offering? |  |  |  |
| Are all assigned academic units of measurement appropriate, based on the level of educational offering? |  |  |  |
| Do the institution’s federal student assistance Title IV programs meet the Federal minimum length of time requirements? |  |  |  |
| **Standard III.F. – 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. **Examinations and Other Assessments:** Examinations and other assessment techniques provide adequate evidence of the achievement of stated learning outcomes. The institution establishes and enforces grading criteria that it uses to evaluate and document student attainment of learning outcomes.

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| **Questions** | **Yes** | **No** | **N/A** |
| Does the institution use appropriate examinations and assessments throughout the curricula? |  |  |  |
| Are the examinations and assessments adequate to measure student achievement of stated program outcomes? |  |  |  |
| Does the institution adequately monitor and measure results of examinations and assessments to ensure that students are achieving the stated program outcomes? |  |  |  |

**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. Undergraduate Degrees

The institution assesses student achievement through multiple means of evaluation (e.g., student presentations, group projects, essays, research papers, participation in threaded discussions, supervised practica, or externships).

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| **Questions** | **Yes** | **No** | **N/A** |
| Does the institution adequately assess and evaluate undergraduate student achievement? |  |  |  |
| Are the institution’s examinations and assessments designed to measure student mastery of identified knowledge, skills, and abilities applicable to the undergraduate degrees offered? |  |  |  |
| Does the institution follow adequate procedures for verifying that degree candidates have met all graduation 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. Master’s Degrees

The institution assesses student achievement through multiple means of evaluation, including a culminating experience required for program completion (e.g., capstone experience, comprehensive examination, research project, or master’s thesis).

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| **Questions** | **Yes** | **No** | **N/A** |
| Does the institution adequately assess and evaluate graduate student achievement? |  |  |  |
| Does the institution require a culminating experience for successful completion of its master’s program(s)? |  |  |  |
| Is the required culminating experience appropriate, based on accepted best practices of other similar master’s degree programs? |  |  |  |
| Does the required culminating experience adequately measure students’ achievement of program outcomes? |  |  |  |
| Are the institution’s examinations and assessments designed to measure student mastery of advanced scholarship, theoretical concepts, and the skills and abilities applicable to the master’s degrees offered? |  |  |  |
| Does the institution follow adequate procedures for verifying that degree candidates have met all graduation 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.

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

1. **Student Integrity and Academic Honesty:** The institution publishes clear, specific policies related to student integrity and academic honesty. The institution affirms that the student who takes an assessment is the same person who enrolled in the program and that the examination results will reflect the student’s own knowledge and competence in accordance with stated learning outcomes.

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| **Questions** | **Yes** | **No** | **N/A** |
| Are the institution’s student integrity and academic honesty policies adequate? |  |  |  |
| Does the institution consistently enforce its student integrity and academic honesty policies? |  |  |  |
| Are the institution’s procedures for verifying student identity effective? |  |  |  |

**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. Non-Degree Programs

Institutions meet this requirement by using a secure login and passcode, administering proctored assessments, or by other means of secure technology.

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| **Questions** | **Yes** | **No** | **N/A** |
| Are the institution’s procedures adequate for determining (1) that the student who takes the assessment is the same person who enrolled in the program and (2) that the assessment results reflect the student’s own knowledge and competence in accordance with stated learning outcomes? |  |  |  |
| Did the institution describe how it meets the requirement for student identity by using a secure login and passcode, administering proctored assessments, or by employing other means of secure technology? |  |  |  |

**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. Degree Programs

In addition to the requirements for non-degree programs above, degree-granting institutions meet this requirement by administering proctored assessments at appropriate intervals throughout the program of study and provide a clear rationale for placement of the proctored assessments within the program. Proctors use valid government-issued photo identification or other means to confirm student identity.

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| **Questions** | **Yes** | **No** | **N/A** |
| Are the institution’s procedures for administering proctored assessments to students enrolled in degree programs adequate for verifying student identity? |  |  |  |
| Is the institution’s process for determining the placement of proctored assessments at intervals throughout the program of study adequate to ensure verification of students’ identity? |  |  |  |
| Are the processes followed by proctors adequate to confirm students’ identity? |  |  |  |

**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 III.I. – Meets, Partially Meets, Does Not Meet, or Not Applicable** | Choose a finding. |

## Standard IV: Educational and Student Support Services

1. **Appropriate Technology:** The institution uses appropriate and readily accessible technology to optimize interaction between the institution and the student that effectively supports instructional and educational services. Students, faculty, and involved practitioners receive training and support for the technology used to deliver the educational offerings.

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| **Questions** | **Yes** | **No** | **N/A** |
| Are students adequately informed of the institution’s minimum technology requirements prior to admission? |  |  |  |
| Does the institution adequately use technology or other appropriate means (e.g. correspondence) to optimize interaction between the institution and students? |  |  |  |
| Does the institution’s use of technology effectively enhance and support instructional and educational services? |  |  |  |
| Does the institution offer adequate training and support for students and faculty in the use of the technology used to deliver its educational offerings? |  |  |  |
| Are the institution’s plans for maintaining current technology and adopting new technology adequate, based on its educational offerings? |  |  |  |
| **Standard IV.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. **Satisfactory Academic Progress:** The institution implements and consistently applies a satisfactory academic progress policy and discloses this policy to students. Standards for measuring satisfactory academic progress include qualitative and quantitative standards used for evaluation of student progress. The institution takes appropriate action if students fail to meet the institution’s minimum standards of progress. Students are informed of their academic progress and standing in the program at regular intervals throughout their enrollment.

The institution implements and consistently applies a satisfactory academic progress policy that complies with all Federal Student Assistance Title IV program requirements as stated in current Federal regulations.

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| **Questions** | **Yes** | **No** | **N/A** |
| Did the institution describe its satisfactory academic progress policy? |  |  |  |
| Did the institution provide a link to its published satisfactory academic progress policy? |  |  |  |
| Does the institution’s satisfactory academic progress policy comply with all Federal Student Assistance requirements as stated in current federal regulations included quantitative and qualitative requirements? |  |  |  |
| Does the institution adequately monitor students’ satisfactory academic progress? |  |  |  |
| Is verification of satisfactory academic progress appropriately frequent and are students informed of their academic progress standard at appropriate intervals? |  |  |  |
| If the institution allows for Leaves of Absence, does the institution’s Leave of Absence policy comply with Federal student assistance requirements as stated in current federal regulations, including applicable timeframe limitations and National Student Loan Data System (NSLDS) reporting requirements? |  |  |  |
| Does the institution consistently follow procedures for enforcing its policy for students who are unable to meet satisfactory academic progress requirements? |  |  |  |
| If the institution allows for Financial Aid Warning and/or Financial Aid Probation periods, does the institution’s policy comply with applicable Federal student assistance requirements as stated in current federal regulations? |  |  |  |
| **Standard IV.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.

* 1. **Regular and Substantive Interaction:** The institution implements policies and procedures that ensure that regular and substantive interaction occurs between students and faculty. The institution maintains records that document appropriate interactions occur throughout the student’s enrollment.

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| **Questions** | **Yes** | **No** | **N/A** |
| Do the institution’s policies and procedures ensure regular and substantive interaction occurs between students and faculty at least once every seven days? |  |  |  |
| Are the institution’s regular interactions between students and faculty substantive and academic in nature? |  |  |  |
| Does the institution adequately document regular and substantive interaction? |  |  |  |
| Does the institution maintain appropriate documentation that demonstrate regular and substantive interaction occurs throughout the student’s enrollment? |  |  |  |
| **Standard IV.1. – 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. **Career and Financial Aid Advising:** The institution makes available to students, upon request, career advising related to their program of study. The institution makes available financial aid advising to all students in need of financial assistance, students that are applying for financial assistance, and other persons seeking additional information regarding the process for applying and receiving Federal Student Assistance. Such advising may take place via a variety of media sources and communication methods. Upon request of the student, the institution provides personal assistance on questions related to the application and delivery of financial aid.

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| **Questions** | **Yes** | **No** | **N/A** |
| Does the institution provide adequate career advising, upon request, to students related to their program of study? |  |  |  |
| Does the institution provide adequate financial aid advising to all students who need financial assistance, apply for financial assistance, and seek additional information regarding the process for applying and receiving Federal Student Assistance? |  |  |  |
| Does the institution use various media sources and communication methods to provide career and financial aid advising? |  |  |  |
| Does the institution provide personal assistance to students on questions related to the application and delivery of financial aid? |  |  |  |
| **Standard IV.2. – 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. **Entrance and Exit Loan Advising:** The institution conducts entrance and exit loan advising that encourages loan repayment. The institution, through the financial aid office and the use of available media, encourages repayment of any Federal Student Assistance student loan funds that were obtained for payment of tuition and other costs associated with the student’s attendance and enrollment in the institution’s educational offerings.

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| **Questions** | **Yes** | **No** | **N/A** |
| Does the institution conduct entrance and exit loan advising with students that encourage Federal Student Assistance loan repayment? |  |  |  |
| Does the institution use adequate media to encourage repayment of any Federal Student Assistance student loan funds that were obtained for payment of the tuition and other costs associated with the student’s attendance and enrollment in its educational offerings? |  |  |  |
| **Standard IV.3. – 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 V: Student Achievement and Satisfaction

1. **Student Achievement:** The institution evaluates student achievement using indicators that it determines are appropriate relative to its mission and educational offerings. The institution evaluates student achievement by collecting data from outcomes assessment activities using direct and indirect measures. The institution maintains systematic and ongoing processes for assessing student learning and achievement, analyzes data, and documents that the results meet both internal and external benchmarks, including those comparable to courses or programs offered at peer DEAC-accredited institutions. The institution demonstrates and documents how the evaluation of student achievement drives quality improvement of educational offerings and support services.

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| **Questions** | **Yes** | **No** | **N/A** |
| Did the institution provide its outcomes assessment plan? |  |  |  |
| Is the institution’s outcomes assessment plan comprehensive? |  |  |  |
| Does the institution have systematic procedures for collecting outcomes assessment data? |  |  |  |
| Does the institution identify direct measures (e.g., assignment, examination, or assessment) that provide the necessary information it uses to measure and determine if students are achieving program and course outcomes? |  |  |  |
| Did the institution identify benchmarks or standards it uses to measure whether students are achieving the stated program and course outcomes? |  |  |  |
| Does the institution use data collected from direct measures as a result of its outcomes assessment plan to improve and enhance its educational offerings and support services? |  |  |  |
| Did the institution provide adequate evidence that it meets DEAC’s most recently published benchmarked standards for graduation and completion rates? |  |  |  |
| Does the institution use consistent processes to monitor student persistence and retention? |  |  |  |
| Does the institution use consistent processes to monitor student graduation rates? |  |  |  |
| Does the institution adequately monitor the employment status of graduates of programs that indicate a specific career as an outcome for the program? |  |  |  |
| For programs that indicate a specific career or other benefit as an outcome or prepare students for state licensure/certification examination required for entering a profession, does the institution use consistent processes for collecting data on student achievement of that outcome(s)? |  |  |  |
| For programs that indicate job placement, did the institution provide evidence of employer acceptance of graduates? |  |  |  |
| For programs that indicate a specific career or other benefit as an outcome, does the institution gather and use information from employers about future employment prospects for graduates of these programs? |  |  |  |
| Does the institution adequately disclose information to the public on the achievement of its students? |  |  |  |
| **Standard V.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. **Student Satisfaction:** The institution systematically seeks student and alumni opinions as one basis for evaluating and improving curricula, instructional materials, method of delivery, and student services. The institution regularly collects evidence that students are satisfied with the administrative, educational, and support services provided.

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| **Questions** | **Yes** | **No** | **N/A** |
| Did the institution provide evidence that it systematically seeks student and alumni opinions as one basis for evaluating and improving curricula, instructional materials, method of delivery, and student services? |  |  |  |
| Does the institution identify indirect measures that it uses to measure student satisfaction? |  |  |  |
| Did the institution identify benchmarks or standards that it uses to measure student satisfaction? |  |  |  |
| Does the institution use data collected from indirect measures as a result of its outcomes assessment plan to improve and enhance its educational offerings and support services? |  |  |  |
| **Standard V.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. **Performance Disclosures:** The institution routinely discloses on its website reliable, current, and accurate information on its performance, including student achievement, as determined by the institution.

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| **Questions** | **Yes** | **No** | **N/A** |
| Does the institution disclose outcomes assessment performance measures on its website? |  |  |  |
| Is the information disclosed sufficiently current and accurate data on its student achievement? |  |  |  |
| **Standard V.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 VII: Advertising, Promotional Literature, and Recruitment Personnel

1. **Advertising and Promotion Disclosures:** Any statements the institution makes in any advertising or promotional materials are complete and accurate regarding the following:
   1. Its eligibility for or participation in FSA Title IV programs,
   2. Its efforts to become certified to participate in such programs, and/or
   3. The availability of FSA Title IV benefits to students who enroll at the institution.

The institution will not use the availability of FSA Title IV funds to students as the primary inducement or rationale for students to enroll in a program.

All promotional materials, catalogs, websites, or other materials that describe the financial assistance available to students, including any FSA Title IV funds that might be available, must state that the assistance is available only to those students who qualify and must include the federal and institutional requirements students must meet in order to qualify for and maintain eligibility for such assistance.

The institution discloses accurate course material information, including ISBN and retail prices. The institution’s textbook pricing policy for new or used textbooks is fair to students.

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| **Questions** | **Yes** | **No** | **N/A** |
| Does the institution’s promotional materials, catalogs, websites, and other materials appropriate describe its participation in Federal Student Assistance Title IV programs? |  |  |  |
| Does the institution have adequate processes in place to ensure that advertising and promotional materials provide complete and accurate information to students on its participation in Federal Student Assistance Title IV programs? |  |  |  |
| Does the institution have policies and procedures in place to ensure that the available of FSA Title IV funds are not used as a primary inducement or rationale for enrolling students in a program? |  |  |  |
| Does the institution publish language that states Federal Student Assistance Title IV funds are available only to those students who qualify? |  |  |  |
| Does the institution adequately disclose to students the federal and institutional requirements they need to meet in order to qualify for and maintain eligibility for Federal Student Assistance? |  |  |  |
| **Standard VII.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. **Student Recruitment:** Individuals authorized by the institution to participate in the enrollment process with prospective students do not have final decision-making authority in the approval or awarding of FSA Title IV. An institution that participates in FSA Title IV programs is aware of, and complies with, all U.S. Department of Education regulations and restrictions on methods of compensation that pertain directly or indirectly to success in student recruiting or admission activities or in making financial aid decisions.

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| **Questions** | **Yes** | **No** | **N/A** |
| Does the institution have adequate policies and procedures in place to prevent individuals authorized by the institution to participate in the enrollment process with prospective students from possessing final decision-making authority in the approval or awarding of FSA Title IV funds? |  |  |  |
| Does the institution’s policies and procedures for compensation of individuals involved in recruitment or admission activities and those involved with making financial aid decisions comply with all Federal student assistance requirements as stated in current federal regulations, including restrictions on student referrals made by institution personnel? |  |  |  |
| **Standard VII.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 VIII: Admission Practices and Enrollment Agreements

1. **Admissions Disclosures:** Admissions policies and procedures are designed to assure that the institution enrolls only those students who are reasonably capable of successfully completing and benefiting from the educational offerings.

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| --- | --- | --- | --- |
| **Questions** | **Yes** | **No** | **N/A** |
| Is the institution’s admissions policy appropriate and consistent with accepted best practices? |  |  |  |
| Does the institution follow adequate procedures for determining its admissions criteria? |  |  |  |
| Does the institution’s admissions policy verifies that only students who are reasonably capable of completing and benefiting from the educational offerings are enrolled? |  |  |  |

**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 informs each applicant, prior to admission, of the admissions criteria, the nature of the education provided, and the demands of the educational offerings. Prior to completing the enrollment process, the institution requires students to affirm access to the catalog and other institutional documents disclosing the rights, responsibilities, and obligations of both the student and the institution.

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| --- | --- | --- | --- |
| **Questions** | **Yes** | **No** | **N/A** |
| Does the institution adequately inform each prospective student of the admissions criteria, the nature of the education offered, and the demands of the educational offerings? |  |  |  |
| Does the institution require students to affirm receipt of the catalog and other institutional documents that disclose the rights, responsibilities, and obligations of both the student and institution prior to completing the enrollment process? |  |  |  |
| If the institution offers programs that prepare students for state licensing/certification examinations required for entering a profession, does the institution adequately inform each prospective student of licensing examination/certification requirements? |  |  |  |
| If the institution offers programs that prepare students for state licensing/certification examinations required for entering a profession, does the institution adequately inform each prospective student whether the program meets state or federal examination eligibility 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. The institution admits students regardless of race, color, national origin, disability, sex, or age. Institutions reasonably accommodate applicants and students with disabilities to the extent required by applicable laws.

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| --- | --- | --- | --- |
| **Questions** | **Yes** | **No** | **N/A** |
| Does the institution have an adequate plan for providing reasonable accommodations to students who provide appropriate disability documentation? |  |  |  |
| If the institution has made accommodations for students, were they adequate based on required applicable laws? |  |  |  |

**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. Official transcripts, if required for admission, are received within one enrollment period not to exceed 12 semester credit hours, or the student is withdrawn from the program.

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| **Questions** | **Yes** | **No** | **N/A** |
| Does the institution follow a process for verifying that official transcripts are received within one enrollment period, not to exceed 12 semester credit hours? |  |  |  |
| Does the institution withdraw students when official transcripts are not received within one enrollment period, not to exceed 12 semester credit hours? |  |  |  |

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

1. **Admissions Criteria:** The institution’s admissions criteria aligns with its mission and student population served. The institution establishes qualifications that an applicant possesses prior to enrollment in order to successfully complete the stated educational offerings. The institution consistently and fairly applies its admission requirements. If an institution enrolls a student who does not meet the admissions criteria, the institution documents the reason(s) for the exception to the admissions criteria.

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| --- | --- | --- | --- | --- |
| **Questions** | | **Yes** | **No** | **N/A** |
| Do the institution’s admissions criteria align with its mission and the target student population served? | |  |  |  |
| Does the institution follow an adequate process for developing admissions criteria that verify and document that prospective students possess identified qualifications in order to complete the stated educational offerings? | |  |  |  |
| Does the institution adequately document that students meet established admissions criteria? | |  |  |  |
| If the institution enrolls students who do not meet its established admissions criteria, are the institution’s policies and procedures for determining the basis for admittance adequate? | |  |  |  |
| Is the institution’s documentation of admissions exceptions adequate and does it clearly indicate that students otherwise meet established admissions criteria? | |  |  |  |
| Are admissions exceptions only made under limited and exceptional circumstances? | |  |  |  |
| Does the institution follow reasonable measures for determining if prospective students’ physical limitations will prevent successful completion of the educational offerings? | |  |  |  |
| **Standard VIII.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.

## 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? |  |  |  |
| **Standard IX.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. **Refund Policy:** The 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 under Standard IX.C. The institution discloses the date from which refunds are calculated (e.g., the date of determination of withdrawal or termination). The institution complies first with the Return of Title IV requirements when a student who is a FSA Title IV recipient withdraws from the institution.

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| **Questions** | **Yes** | **No** | **N/A** |
| Does the institution’s refund policy comply first with the Return of Title IV requirements when a student who is a FSA Title IV recipient withdraws from the institution? |  |  |  |
| **Standard IX.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 X: Institutional Governance

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.

## Standard XI: Financial Responsibility

1. **Federal Student Assistance Administrator:** The institution employs a capable individual(s) responsible for administering all FSA Title IV programs in which it participates and for coordinating those programs with the institution’s other financial assistance programs. The institution employs other individuals, as needed, to assist in the administration of FSA Title IV programs.

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| **Questions** | **Yes** | **No** | **N/A** |
| Does the institution employ a capable individual(s) responsible for administering all FSA Title IV programs in which it participates? |  |  |  |
| Does the identified individual(s) adequately coordinate FSA Title IV programs with the institution’s other financial assistance programs? |  |  |  |
| Does the institution follow adequate procedures for hiring and employing other individuals, as needed, to assist in the administration of FSA Title IV programs? |  |  |  |
| Did the institution identify the individual who attended the DEAC-sponsored Federal Student Assistance Title IV Administration workshop? |  |  |  |
| Did this individual receive DEAC certification prior to the institution’s participation in any Federal Student Assistance program? |  |  |  |
| **Standard XI.1. – 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. **Default Management Plan:** The institution’s default management plan addresses student loan information (borrower’s rights and responsibilities, information regarding repayment and consolidation of student loan debt, communications with lenders and loan servicing agents, and the consequences of default), advising and monitoring, cooperation with lenders, and collection information to facilitate location of borrowers. The institution documents implementation of the default management programs and regularly conducts an evaluation of the effectiveness of its efforts as part of its self-study program.

The published cohort rate for the institution for any cohort year—where 30 or more borrowers enter repayment—cannot exceed the allowable rates as prescribed by the U.S. Department of Education. Institutions that receive a published rated greater than 25 percent are required to implement and adhere to a default reduction plan that specifically outlines the means by which the institution will provide services and contracts to the borrowers in an attempt to reduce the cohort default rate.

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| --- | --- | --- | --- |
| **Questions** | **Yes** | **No** | **N/A** |
| Did the institution provide its most recent official three-year Cohort Default Rate? |  |  |  |
| Does the institution’s default management plan adequately address student loan information, advising and monitoring, cooperation with lenders, and collection information to facilitate location of borrowers? |  |  |  |
| Does the institution effectively implement its default management programs and regularly conduct evaluations of the effectiveness of its efforts as part of its self-study program? |  |  |  |
| **Standard XI.2. – 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 Responsibility:** The institution meets the financial responsibility and administrative capability rules for Federal financial aid participation that includes the annual submission of audited comparative financial statements for the two most recent fiscal years, auditor opinion and management letters, and composite score calculation.

|  |  |  |  |
| --- | --- | --- | --- |
| **Questions** | **Yes** | **No** | **N/A** |
| Does the institution meet the financial responsibility and administrative capability rules for Federal Student Assistance participation, including the annual submission of audited comparative financial statements for the two most recent fiscal years, auditor opinion and management letters, and composite score calculation? |  |  |  |
| Did the institution provide its composite score? |  |  |  |
| If the institution’s composite score is below 1.5, did it describe the guidance received by the Federal Student Aid department and how the institution is complying with applicable Federal requirements and department guidance? |  |  |  |
| **Standard XI.3. – 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. **Limitations on Title IV Revenue and Enrollment Growth:**
2. Revenue from all FSA Title IV programs by eligible institutions may not account for more than 50 percent of an institution’s total revenue during its first 12 months of eligibility for FSA Title IV program participation, and not more than 75 percent of its revenue for all subsequent years of participation until such time that the institution (a) receives renewal of accreditation while participating in Title IV programs, and (b) demonstrates that its three-year cohort default rate and financial statement composite score fall within acceptable ranges as prescribed by the U.S. Department of Education. Once the institution successfully meets the aforementioned requirements, the Commission will approve the institution to draw the maximum revenue from FSA Title IV Programs allowed under applicable Title IV regulations. “Revenue” is defined as total receipts from all of the institution’s distance education students for tuition, books, fees, and all institutional charges, excluding refunds made, regardless of whether they received FSA Title IV programs funds.

Students who enrolled in an institution’s programs prior to the date in which FSA Title IV program eligibility is granted and who subsequently elect to receive FSA Title IV funds will not be included in the institution’s FSA Title IV program revenues.

1. An institution that, due to its participation in FSA Title IV programs, experiences annual growth of more than a 50 percent increase in student enrollments and/or has more than a 50 percent increase in annual tuition receipts in any calendar year may be directed to undergo an on-site evaluation, at the discretion of the DEAC.

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| **Questions** | **Yes** | **No** | **N/A** |
| If the institution is already eligible for FSA Title IV program participation, did it provide the percentage of its revenue from Title IV programs for its most recent fiscal year and is it equal to or less than 75 percent, as required by DEAC’s Title IV revenue limitation requirements? |  |  |  |
| If the institution is seeking initial eligibility for participation in FSA Title IV programs, did it certify that the institution understands its obligation to comply with DEAC’s Title IV revenue limitation requirements? |  |  |  |
| Did the institution certify that it understands, that if it has annual growth of more than a 50 percent increase in student enrollments and/or more than a 50 percent increase in annual tuition receipts in any calendar year, it may be directed to undergo an on-site evaluation at the discretion of the DEAC? |  |  |  |
| **Standard XI.4. – 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. **Program Reviews:** The institution notifies DEAC in writing within 10 days of having undergone any program reviews, inspections, or other reviews of its participation in Federal Student Assistance Title IV programs by the U.S. Department of Education. The institution also provides complete copies of any reports (both preliminary and final) of these reviews and provides any available compliance audits within 10 days of its receipt of these documents.

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| --- | --- | --- | --- |
| **Questions** | **Yes** | **No** | **N/A** |
| Did the institution receive a program review by the U.S. Department of Education within the past 5 years? |  |  |  |
| If the institution did receive a program review, was the status of the program review disclosed? |  |  |  |
| Did the institution certify that it understands its obligation to notify DEAC in writing within 10 days of having undergone any program reviews, inspections, or other reviews of its participation in Federal Student Assistance Title IV programs by the U.S. Department of Education and that it will provide complete copies of any reports (both preliminary and final) of these reviews including available compliance audits within 10 days of the receipt of these documents? |  |  |  |
| **Standard XI.5. – 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. **Bankruptcy:** An institution that files for federal bankruptcy protection, simultaneously and immediately forfeits its DEAC accredited status and Federal Student Assistance Title IV program eligibility.

|  |  |  |  |
| --- | --- | --- | --- |
| **Questions** | **Yes** | **No** | **N/A** |
| Did the institution certify that it understands it immediately forfeits its DEAC accredited status and Federal Student Assistance Title IV program eligibility once it files for federal bankruptcy protection? |  |  |  |
| **Standard XI.6. – 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. **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.

|  |  |  |  |
| --- | --- | --- | --- |
| **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 ensure 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.

|  |  |  |  |
| --- | --- | --- | --- |
| **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.