

**FEDERAL FINANCIAL ASSISTANCE INSTITUTIONS**

**COMPANION SELF-EVALUATION REPORT
COMPLIANCE ASSESSMENT FORM**

## Instructions

The questions on this Compliance Assessment Form are designed to assist onsite team evaluators in determining whether institutions meet DEAC Accreditation Standards related to its ongoing participation 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 ongoing participation in Title IV Programs via the institution’s Federal Student Assistance – Companion Self-Evaluation Report. A separate compliance assessment form is available for review of an institution’s Engaging in Federal Student Assistance Title IV Programs Post Approval 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 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 VI: Curriculum Development

1. **Academic Units of Measurement**

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 is supported by research and consistent with the program learning outcomes and conforms to commonly accepted practices in higher education.

|  |  |  |  |
| --- | --- | --- | --- |
| **Questions** | **Yes** | **No** | **N/A** |
| Do the institution’s federal student assistance Title IV programs meet the Federal minimum length of time requirements?  |[ ] [ ] [ ]
| **Standard VI.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: Academic Policies

1. **Satisfactory Academic Progress**

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.

|  |  |  |  |
| --- | --- | --- | --- |
| **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 including 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 X.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. **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 that appropriate interactions occur throughout the student’s enrollment.

|  |  |  |  |
| --- | --- | --- | --- |
| **Questions** | **Yes** | **No** | **N/A** |
| Does the institution implement adequate policies and procedures that ensure that regular and substantive interaction occurs between students and faculty at least once every seven days? |[ ] [ ] [ ]
| Are the regular interactions between students and faculty substantive and academic in nature? |[ ] [ ] [ ]
| Are regular and substantive interactions appropriately documented? |[ ] [ ] [ ]
| Does the institution maintain adequate records documenting that appropriate interactions occur throughout students’ enrollment? |[ ] [ ] [ ]
| **Standard X.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.

Standard XII: Student Support Services

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 for 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.

|  |  |  |  |
| --- | --- | --- | --- |
| **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 appropriately use various media sources and communication methods to provide career and financial aid advising? |[ ] [ ] [ ]
| Does the institution adequately provide personal assistance to students on questions related to the application and delivery of financial aid? |[ ] [ ] [ ]
| **Standard XII.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. **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 FSA student loan funds that were obtained for payment of the tuition and other costs associated with the student’s attendance and enrollment in the institution’s educational offerings.

|  |  |  |  |
| --- | --- | --- | --- |
| **Questions** | **Yes** | **No** | **N/A** |
| Does the institution conduct appropriate entrance and exit loan advising with students that encourages 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 the educational offerings? |[ ] [ ] [ ]
| **Standard XII.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.

Standard XIII: Fair Practices

1. **Refunds**

Institutions must implement fair and equitable refund policies that meet or exceed the requirements of their government regulators, including consumer rights and protection policies. In the absence of such requirements, the institution follows DEAC’s refund policy requirements in Appendix XIV. 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.

|  |  |  |  |
| --- | --- | --- | --- |
| **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 an FSA Title IV recipient withdraws from the institution? |[ ] [ ] [ ]
| **Standard XIII.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. **Advertising and Promotion**

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.

|  |  |  |  |
| --- | --- | --- | --- |
| **Questions** | **Yes** | **No** | **N/A** |
| Do the institution’s promotional materials, catalogs, websites, or other materials appropriately describe its participation in Federal Student Assistance Title IV programs? |[ ] [ ] [ ]
| Does the institution follow adequate processes 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 comply with the requirement that the availability of FSA Title IV funds is not used as a primary inducement or rationale for enrolling students in a program? |[ ] [ ] [ ]
| Does the institution publish appropriate disclosures that Federal Student Assistance Title IV funds are available only to those students who qualify? |[ ] [ ] [ ]
| Does the institution appropriately discloses to students the federal and institutional requirements they need to meet in order to qualify for and maintain eligibility for Federal Student Assistance? |[ ] [ ] [ ]
| **Standard XIII.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.

Standard XIV: Finance

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.

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

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

|  |  |  |  |
| --- | --- | --- | --- |
| **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 XIV.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. **Title IV 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.

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