POPE Informational Summit

April 7, 2015
Focus on Excellence: An Informational Summit for Certified Institutions

The 4 W’s of Compliance

Private and Out-of-State Postsecondary Education (POPE)
The Compliance Audit...the 4 W’s

• Who
• When
• Why
• What
Compliance Audit – Who is audited?

- All postsecondary schools in the Commonwealth of Virginia certified to operate by SCHEV
  - Institutions of Higher Education
  - Career Technical Schools
Compliance Audit – When are schools audited?

- Schools are randomly audited
- Or, a school can be audited for various reasons:
  - Complaints
  - Accreditation Issues
  - Department of Education Issues
  - Negative Publicity
Compliance Audit – Why are schools audited?

• Review, inspect and investigate compliance with:
  – Statutory Authority:
  – Title of Regulations:
    8 VAC 40-31 et.seq.
Compliance Audit – What is the audit process?

Initiate
- SCHEV Develops Quarterly Audit Schedule
- Contacted by compliance investigator and reserve a visit date.

Prepare
- Receive an itinerary which outlines upcoming visit
- Send requested items for pre-audit to SCHEV
- Prepare materials & room for audit

Conduct
- Opening meeting
- Compliance Investigator conducts audit
- Closing meeting

Finalize
- Receive audit report
- Respond to report
- Receive closure letter
Compliance Audit – What is the audit process?

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The Compliance Audit...
Compliance Issues

9 Most Common Items of Non-Compliance

Items of Severe Non-Compliance

What Happens In Cases of Severe Non-Compliance
9 Most Common Items of Non-Compliance
Advertising Disclosures

- 8VAC 40-31-30(A)& B)
  - School must disclose in all advertising & promotional materials
    - “Certified by State Council of Higher Education for Virginia (SCHEV)”
    - Name of school as it appears on Certificate to Operate
    - Address of at least one branch campus location
Faculty Qualification (Institutions of Higher Education)

- 8VAC 40-31-140(D)(1-4)
  - Academic Preparation
  - Scholarly or Professional Achievements
  - If teaching General Education courses:
    - Must hold the appropriate /required degree from an accredited college or university in the discipline being taught; OR
    - An appropriate/required degree from an accredited college or university, plus at least 18 graduate credit hours in discipline being taught
Faculty Qualification (Career/Technical Schools)

- 8VAC 40-31-150(C)
  - Associate degree or higher in discipline being taught; OR
  - Minimum of 2 years of technical/occupational experience in the area before hire
Statement of Ownership

• 8VAC 40-31-160(C)(1-4)
  – Current and written document, available to students and the general public that states the powers, duties and responsibilities at the Virginia campus of the following:
    • Governing Board/Owner(s) of the institution
    • Chief Operating Officer, President, Director, Chancellor, etc.
    • Principal Administrators and their Credentials
    • The students, if students participate in institutional governance
• 8VAC 40-31-160(E)(1-4)
  – Admissions Documents (Supporting Documentation)
  – Academic Records (Current Transcript)
  – Financial History (Ledger Card) (See Sample)
  – Application & Enrollment Agreement
  – Student Status (Enrolled/Graduate/Withdrawn/Other)
  – Course Registration Material
  – Attendance Records
  – Enrollment Agreement
  – Leave of Absence Agreement (New)
  – Truth-in-Lending (Only for Institutional Payment Plans) (New)
Refund Policy

- 8VAC 40-31-160(F)(6) and
- 8VAC 40-31-160(N)(1-15) (Pages 29-33)
  - Charges must be applied uniformly
  - Not to exceed $100 to cover expenses in connection with processing a student’s enrollment
  - Policy to address if prospective student is not admitted, does not enroll and does not begin program/course
  - Policy to address when applicant signs enrollment agreement, but does not start program/course
Refund Policy (cont.)

– 3-Day Cancellation Notice
– Leave of Absence (LOA) Policy (New)
– Withdrawal determination after 14 calendar days from last date of attendance (Modified)
– Publish specific refund (See pages 31-32)
  • Add/Drop Period (Students are entitled to 100%) (New)
  • Quarters/Semesters/Trimesters
  • Entirety
  • Totally Online
Refund Policy (cont.)

- Publish all tuition and fee charges of each program
- Non-refundable fees must be identified and published
- School must adopt and adhere to reasonable policy when handling non-refundable expenses collected as part of the enrollment process
- Receipt refund within 45 days of notice or determination date
Grievance Policy

• 8VAC 40-31-160(F)(7)
  – Publish school’s grievance policy & procedures
  – SCHEV must be listed as agency of last resort
    • List SCHEV’s official name, address, phone & fax numbers
  – Must include non-retaliatory statement
    • Student will not be subject to unfair actions as a result of initiating a complaint proceeding.
Transferability of Credits

- 8VAC 40-31-160(F)(10-12)
  - Publish policy & procedures of school accepting credits & credit for experience
  - Publish disclosure regarding credits transferring another institution
    - “It is solely at the discretion of the receiving institution which credits and/or coursework, if any, will be accepted.”
  - Publish disclosure regarding A.A.S. and A.O.S. degrees
    - “AAS & AOS degrees are terminal degrees; and these degrees generally are not applicable to other degrees.”
Record Keeping: Maintenance of Faculty & Staff Files

- 8VAC 40-31-160(O)
  - SCHEV Forms (New & Modified)
    - Owner/Administrator Qualification for Career Technical Schools
    - Senior Administration Qualification for Institution of Higher Education
      - CEO, COO, CFO, President, Chancellor, Dean, Provost, Owner, Board Members
– SCHEV Forms (New & Modified)
  • Administrative Personnel Qualification for Institution of Higher Education
    – Directors: Education, Admissions, Student Services; Business Officer or Manager; Registrar
  • Instructor Qualification (One Form for All)
Maintenance of Faculty and Staff Files (cont.)

– CV/Resume
– Official/Translated Academic Transcripts
– Letter of Qualification (Based on Scholarly & Professional Experience) (See Sample)
– Licenses/Certifications/CEUs
– Trainings
– Application
– Job Description
– Other Employment Documents
Items of Severe Non-Compliance
• Repeat violations that adversely affect student education
• Refusal to provide requested information to audit team
• Retaliation against students
• Loss of accreditation
What Happens in Cases of Severe Non-Compliance
Recommendations

• Auditors may recommend another audit in one year or less.
• Auditors may recommend changing a school’s status to conditional certification.
• Auditors may recommend revocation of the school’s certificate to operate.
Any violation of the provisions of § 23-276.12 of the Code of Virginia shall be punishable as a Class 1 misdemeanor.
The Compliance Audit...