



State Council of  
Higher Education for Virginia

# POPE

# Informational

# Summit

April 7, 2015



State Council of  
Higher Education for Virginia

**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

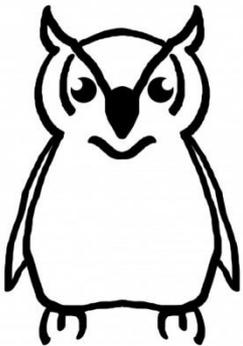


- *Who*
- *When*
- *Why*
- *What*

# 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?

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- 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?

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- Review, inspect and investigate compliance with:
  - Statutory Authority:  
§ 23-276.1 - § 23-276.1 6 of the **Code of Virginia**
  - 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

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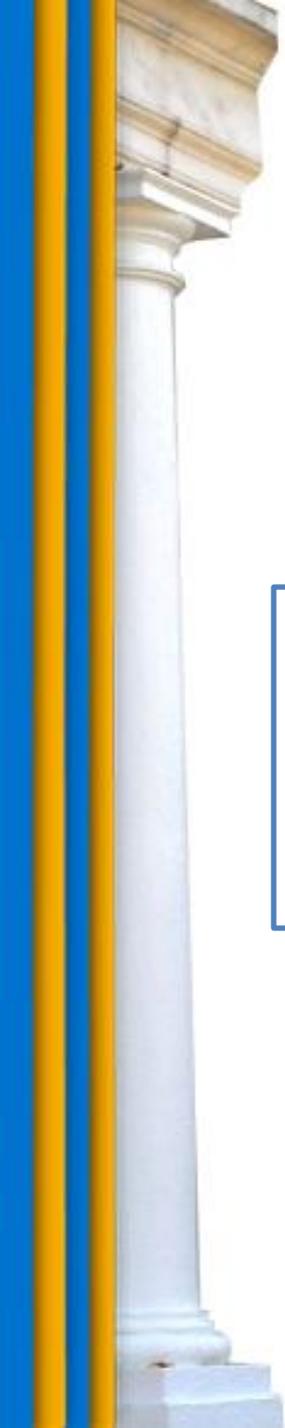
# Compliance Issues

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9 Most Common Items of Non-Compliance

Items of Severe Non-Compliance

What Happens In Cases of Severe Non-Compliance



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# 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

## *Record Keeping: Student Files*

- 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(0)
  - 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

## *Maintenance of Faculty & Staff Files (cont.)*

### – 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

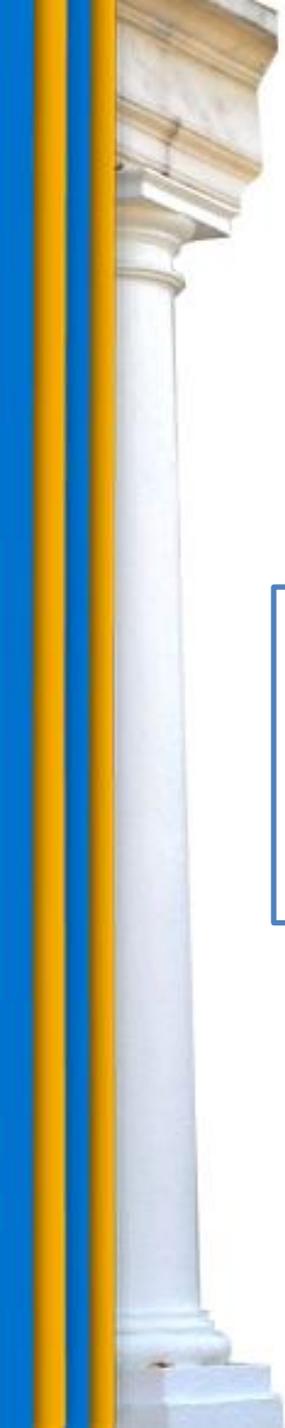


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# Items of Severe Non-Compliance

# *Violations*

- Repeat violations that adversely affect student education
- Refusal to provide requested information to audit team
- Retaliation against students
- Loss of accreditation



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**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.

*Certification is the Law . . .*

**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...

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