



Policies and Rules of the Commission

2016 Edition

Policies and Rules of the Commission: 2016 Edition

All previous editions are obsolete.

COUNCIL ON OCCUPATIONAL EDUCATION

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Preface

The Bylaws of the Council on Occupational Education assign to the Commission the responsibility of “establishing and implementing appropriate policies and rules for the enforcement of the approved accreditation standards and membership conditions” (Bylaws of the Council on Occupational Education, Article IV. The Commission, Section 4.2, Commission Responsibilities). Further, the current *Handbook of Accreditation* states in several instances that the Commission will establish policies and/or rules for candidate and accredited institutions to observe in order to maintain their status with the Council. Policies and rules are understood by the Commission to include procedures that may be required to maintain compliance with the Council’s standards and conditions.

The purpose of this document is to communicate to interested and affected parties the policies and rules that have been adopted by the Commission in fulfillment of its obligation under the *Bylaws of the Council*. The order of topics in this document follow the order in which they appear in either the *Bylaws* or the *Handbook of Accreditation*. In those cases where the action of the Commission is mandated by the provisions in the *Handbook of Accreditation*, a reference is given with the specific page number where the mandate appears.

These policies and rules are subject to revision, including additions and deletions, at any time by the Commission as the Commission deems appropriate to carry out its responsibilities under the Bylaws of the Council. The Commission has total and final authority in determining institutional compliance with these policies and rules.

Changes and amendments to these Policies and Rules are highlighted in blue.

Changes made as a result of mandates of the U.S. Department of Education are highlighted in yellow.

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Policies and Rules Applicable to the Bylaws of the Council on Occupational Education

References for policies and rules stated in this section are given for the specific sections where they appear in the *Bylaws of the Council on Occupational Education*. The subsections that follow are consistent with the order in which the topics appear in the *Bylaws*.

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ELIGIBILITY TO SERVE AS A PUBLIC MEMBER OF THE COMMISSION OR THE COUNCIL APPEAL PANEL

An individual who represents the general public on the Commission or the Appeal Panel of the Council on Occupational Education must not be any of the following:

- (1) An employee, member of the governing board, owner, or shareholder of, or consultant to, an institution that either is a candidate for accreditation or is accredited by the Council or has applied for candidacy or accreditation by the Council.
- (2) A member of any trade association or membership organization related to, affiliated with, or associated with the Council.
- (3) A spouse, parent, child, or sibling, of an individual identified in item (1) or item (2) above.

REFERENCE: *Bylaws of the Council on Occupational Education, Article III. Membership and Voting, Section 3.8 Council Appeal Panel, and Article IV. The Commission, Section 4.3 Election and Terms of the Members of the Commission*

AVAILABILITY OF COE PUBLICATIONS

Institutions interested in membership with the Council on Occupational Education may obtain copies of all current Council publications, applications, and forms from the Council website (www.council.org).

Candidate visiting team leaders will confirm that institutions applying for candidacy have access to the most current copies of the [Handbook of Accreditation](#), [Policies and Rules of the Commission](#), [Self-Study Manual](#), and [Guidelines for Accreditation Visiting Teams](#).

Institutions in candidate or accredited status will be notified when revised editions of the Council's primary publications are available on the Council's web site.

Institutions will be directed to download the latest edition of the [Self-Study Manual](#) upon notifying the Commission that they are ready to begin their self-study.

Team leaders and members shall have access to the appropriate versions of the [Handbook of Accreditation](#), the [Policies and Rules of the Commission](#), and the [Guidelines for Accreditation Visiting Teams](#) on the Council's website. Team leaders will also have access to the [Self-Study Manual](#).

Institutions are free to reproduce any of the above publications downloaded from the website or purchase hard copies of Council publications by placing an order with the office of the Commission of the Council on Occupational Education.

REFERENCE: *Bylaws of the Council on Occupational Education, Article IV. The Commission, Section 4.2, Commission Responsibilities*

COMMISSION REVIEW COMMITTEE

The Commission Review Committee is established by the Commission as a standing committee. The committee will be composed of all current members of the Commission and 20 to 25 members who will be elected annually by the Commission to serve one-year terms. Persons elected to the Commission Review Committee are eligible for election to successive one-year terms without limitation. The Chair and Vice Chair of the Commission Executive Committee will serve as the Chair and Vice Chair, respectively, of the Commission Review Committee. The Executive Director of the Commission shall serve as Secretary of the Commission Review Committee.

The function of the Commission Review Committee will be to review institutional materials, educational programs, and any other materials and/or documents that relate to the standards, criteria, conditions, policies, and/or procedures of the Commission. These functions may be performed by the committee as a whole or by subgroups of the committee as may be appropriate for the particular task.

REFERENCE: *Bylaws of the Council on Occupational Education, Article IV. The Commission, Section 4.16, Commission Committees*

PROCEDURES FOR SELECTION OF THE CHIEF EXECUTIVE OFFICER OF THE COUNCIL AND COMMISSION

When a vacancy occurs (or is about to occur) in the position of Chief Executive Officer of the Council and Commission, the Commission shall establish a selection committee composed of the following:

- (a) The Executive Committee of the Commission.
- (b) Three administrators of institutions accredited by the Commission. These three members are to be elected by the Commission.

NOTE: The chair and vice-chair of the Commission shall serve as chair and vice-chair of the selection committee.

The duties of the selection committee are the following:

- (a) Solicit applications from persons to be considered and screen these applicants as to qualifications.
- (b) Nominate at least three (3) acceptable candidates for the position to the Commission. (The Commission may appoint one of these candidates. Should the Commission choose not to appoint one of the candidates, the selection process shall continue.)

REFERENCE: *Bylaws of the Council on Occupational Education, Article IV. The Commission, Section 4.17, Executive Committee*

Policies and Rules Applicable to Conditions of Accreditation

References for policies and rules stated in this section are given for the specific sections where they appear in the *Handbook of Accreditation*. The subsections that follow are consistent with the order in which the topics appear in the *Handbook*.

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AFFILIATION WITH COE

EDUCATIONAL PROGRAM POLICIES OF THE COUNCIL

Establishment of the Approved List of Programs

An official listing of approved programs is established in the Council's database once an institution is accepted as a candidate for accreditation. The programs to include on the list are initially provided by the institution in the candidate application. Each program on the list includes a program code (using the Classification of Instructional Programs code – CIP code), program name, mode of delivery (traditional, hybrid, and/or distance education), specific length in clock, semester credit, and/or quarter credit hours, and whether or not an associate degree credential is awarded for program completion.

IMPORTANT: Federal institutions are not required to follow the same procedure for establishing a list of programs. Information about federal training is initially collected through the candidate application process and detailed further in the institutional self-study performed by federal institution candidates and members.

Programs to Include on the List of Approved Programs

The programs included on the approved program list are primarily postsecondary and offered by institutions exclusively for career and technical education.

The following criteria are important when determining which programs must appear on the list:

1. The Council is an institutional accreditor. This means that accreditation by the Council includes all programs that offer instruction for job entry or advancement. Therefore, all career and technical education programs (associate degree and non-degree) must be included on the list including those labeled as job upgrade training and vocational-as-a-second-language programs.*
2. The Council does not accredit avocational programs (such as stand-alone ESL programs). Institutions offering programs or courses that do not prepare students for job entry or advancement are not included in the list of approved programs accredited by the Council. IMPORTANT: Institutions offering avocational programs/courses must clearly specify that those offerings are not accredited by the Council and do not qualify for Title IV financial aid assistance.
3. There is no minimum or maximum length defined by the Commission for career and technical education programs. All career and technical education programs, regardless of their length, must be included on the list.
4. The names and lengths of programs on the list must be identical to the description of programs provided in institutional publications (catalogs, brochures, web sites, etc.) and to state licenses/approvals.
5. Programs that appear on the list of programs are considered to be 'active' programs. That is, the programs on the list are mentioned specifically on an enrollment agreement the students sign that awards a specific credential. ALSO, the programs on the list meet one of the following conditions: (a) currently have students enrolled; (b) have had students enrolled in the past 12 months; (c) have been approved by the Commission within the past 180 days; or, (d) currently have or may have postsecondary (adult) student enrollment in secondary occupational programs. At least one of these conditions is true at any point in time. Programs that fail to meet at least one of these conditions must be removed from the list.

6. Institutions must provide student achievement data (completion, placement, and possibly, licensure exam pass rates) for each program on the approved program list.*
7. The list of programs (and student enrollment and number of campuses) is an important factor when establishing the size of accreditation visiting teams and choosing team members with appropriate education and experience for the evaluation of the programs on the list.
8. The institutional self-study document must address compliance with accreditation standards for all programs on the approved program list, even if the program does not have students enrolled at the time of the accreditation team visit. (See subsection titled: Changing the Approved Program List.)
9. Programs on the approved list may be eligible for Title IV Student Financial Aid or other funding sources, but this is not the only factor in determining which programs must be included. The previous points one through eight, alone, determine whether or not programs are included on the list. However, because the Council's accreditation process is recognized by the U.S. Department of Education as meeting one of the eligibility requirements for Title IV Student Financial Aid programs, institutions must be sure that all Title IV eligible programs appear accurately on the approved programs list.

Candidate and accredited institutions are required to notify the Commission of additions, changes, and deletions to the list of approved programs. Failure to notify the Commission in a timely manner will be subject to penalties. (See the latest edition of the Handbook of Accreditation, Substantive Changes.)

*Continuing occupational education programs are not necessarily required to be included on the list of approved programs. See the definition for 'continuing occupational education' and 'job upgrade training' in Definitions.)

Calculating and Reporting Program Length

As stated previously, there is no minimum or maximum program length that determines which programs must be included on the list.

The Council uses the following definitions to describe the methods of measurement of program length:

Clock Hour: A period of 60 minutes with a minimum of 50 minutes of instruction.

Semester Credit Hour: A unit of program measurement that equals a minimum of 15 clock hours of lecture, 30 clock hours of laboratory, or 45 clock hours of work-based activities.

Quarter Credit Hour: A unit of program measurement that equals a minimum of 10 clock hours of lecture, 20 clock hours of lecture, or 30 clock hours of work-based activities.

The Commission is aware that some postsecondary institutional licensing agencies approve courses and/or programs with the number of credit hours being calculated to as many as two decimal places. The Commission is also aware that the general practice in the postsecondary education community is to measure courses and programs in whole numbers of credit hours.

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The policy of the Commission is that the conversion of clock hours to credit hours for individual courses may be calculated to include a fraction or decimal but must not be inflated by rounding up. The sum of the course credit hours for a program must equal a whole number without rounding up.

Federal Credit Hour Conversion for Determining Federal Student Financial Aid

On October 29, 2010, the U.S. Department of Education published in the Federal Register regulations on program integrity pertaining to clock hour-to-credit hour conversion of academic credits to federal credit hours for determining Federal Student Financial Aid.

1. Academic and Federal Credit Hours

Institutions may use credit hours to define an amount of work represented by verifiable student achievement of institutionally established learning outcomes. Based on the Carnegie Unit, one academic semester credit hour is based on 15 clock hours of lecture, 30 clock hours of lab work, or 45 clock hours of work-based learning. One academic quarter credit hour is based on 10 clock hours of lecture, 20 clock hours of lab work, and 30 clock hours of work-based learning. Academic credit hours specify “school time” only and do not indicate time students spend doing homework, research or other unsupervised learning activities. The federal regulations do not change these academic credit hour conversions, and an institution’s academic credit hours will not be affected by the regulations.

Credit hours are also used to determine the eligibility of an educational program for participation in federal financial aid programs. The Department of Education uses a different formula for calculating program eligibility to qualify for federal student financial aid. The Department’s formula is used to determine what may be called “federal” or “financial aid” credit hours, as opposed to the academic credit hours described above. Federal credit hours do account for time students spend doing homework, research or other unsupervised learning activities (herein referred to as “course prep” time). The Department requires 37.5 clock hours of school time and course prep time for each semester credit hour and 25 clock hours of school time and course prep time for each quarter credit hour. Previously these conversion rates were set at 30 clock hours per federal semester credit hour, and 20 clock hours per federal quarter credit hour. The additional 7.5 clock hours for each semester credit, and 5 clock hours for each quarter credit are specifically intended to account for the addition of student course prep time. Only programs that are at least 900 clock hours in length, accounting for both school time and course prep time, may be eligible for the maximum allowable federal student financial aid.

2. Documenting Course Prep Time for Federal Credit Hours

Since course prep time is included in the calculation of federal or financial aid credit hours, institutions must have written policies and procedures for determining the amount of student work to be done outside of class. Assignments for homework or course prep work must identify specific learning objectives for each course as well as an approximate time required for completion. Furthermore, the work must be evaluated, graded and weighted appropriately in the determination of the final grade for each course. Institutions will be required to maintain documentation that course prep work assignments are completed and considered in determining the final course grade.

If current academic credit hours already include at least 7.5 clock hours of course prep work for each academic semester credit hour, or at least 5 clock hours of course prep work for each academic quarter credit hour, institutions must nonetheless document the nature, objectives, and time requirements for the homework, research or other unsupervised learning activities required for each course.

3. Clock Hour Programs

Certain programs are required to be measured in clock hours, often by a federal or state regulatory board or agency. These programs may be required to measure student progress in clock hours in order to receive federal or state approval or professional licensure. In these cases, institutions do not have the option to convert clock hours to credit hours.

Institutions are responsible for securing information from the Department of Education and complying with regulations affecting eligibility for Federal Title IV, HEA student financial aid programs. COE instructions and guidelines are subject to change as the Council considers further implementation advisories from the U.S. Department of Education.

4. Responsibilities of Candidate and Accredited Institutions

Institutions where programs are subject to the federal clock-to-credit hour conversion regulation must prepare and submit to the Council a Program Modification application for each affected program (available in the Documents/Applications section on the COE web site at www.council.org). Submitting a Program Modification application is not considered a substantive change when total lecture, lab or work-based learning clock or credit hours increase by less than 25%. The Program Modification application must indicate the nature and estimated time requirements of the homework, research, or other unsupervised learning objectives assigned for each course in an approved program of study.

Institutions that choose to increase lecture, lab or work-based activities in an approved program of study by 25% or more must submit a Change in Existing Program application, which constitutes a substantive change. The application must include documentation of compelling market demand for the proposed increase.

All institutions with programs affected by the clock to federal credit hour conversion regulation must submit to the Council their institutional policies and procedures for determining federal credit hours. Additionally, Program Modification applications or Change in Existing Program applications must be provided for each affected program.

Guidelines for Reporting Secondary Programs

The Commission offers its evaluative services to postsecondary institutions that enroll secondary students in career and technical education programs. Institutions electing to include secondary programs in the self-study process of the Council must specify this in their application for candidate status with the Council and indicate which programs enroll secondary students.

Once secondary program evaluation is indicated, the institution must:

- a. Include secondary programs in the self-study document;
- b. Include secondary students in the institution's FTE calculation; and,
- c. Collect completion rate data on the secondary student population

Secondary programs included on the list of approved programs are those that are occupational in nature and enroll high school students (grades 11 and 12).

In some states, institutions may enroll adult students in secondary occupational programs. When this is the case, those programs that have adults enrolled or MAY enroll adults must be on the list of approved programs, especially if those adults are eligible for Title IV Student Financial Aid.

Vocational English-As-A-Second-Language Programs

A Vocational English-as-a-Second-Language (ESL) Program is a stand-alone program that is limited to persons already possessing occupational competencies who would be employable if they could demonstrate adequate English language skills. The program consists solely of English as a second language and must meet the following requirements:

- a. The program must meet the objectives and criteria required of all COE-approved educational programs.
- b. The institution must admit only students who need instruction in English to be able to use the knowledge and skills that they already possess in order to obtain employment.
- c. The institution must demonstrate that students enrolled in the ESL program possess job skills, as evidenced by documentation such as credentials, test scores, job experience, or verification of skill competencies by a third party.
- d. The institution accepts the responsibility for placement assistance upon graduation in compliance with COE placement requirements.
- e. The institution must submit student achievement data to verify completion rates, placement rates, and if applicable, licensure exam pass rates, for all students enrolled in Vocational ESL programs.

Vocational English-As-A-Second-Language Programs must be included on the list of programs.

Conversely, 'Avocational' English-As-A-Second-Language programs (or 'stand-alone' ESL programs) are those English language programs that enroll members of the community who are interested in learning the language for purposes other than seeking employment. Avocational English-As-A-Second-Language Programs are not included in the Council's scope of accreditation and are not included on the list of programs. Institutions offering any avocational programs must specify that the programs are not accredited by the Council and do not qualify for Title IV financial aid assistance in appropriate publications and brochures.

Instructional Delivery Methods

The instructional delivery method is one of the program specifics contained on the approved program list. The three types of instructional delivery methods indicated on the approved program list are defined as follows:

Distance Education Program: A program that makes available 50% or more of its required instructional hours via distance education.

Hybrid Program: A program that makes available less than 50% of its required instructional hours via distance education.

Traditional Program: A program that requires all instructional hours to be completed on campus.

When Council publications use the term ‘Distance Education’ in context of a method of program delivery, it is defined as follows:

Distance Education [Delivery Method]: Education that uses one or more of the technologies to deliver instruction to students who are separated from the instructor; and support regular and substantive instruction between students and the instructor, synchronously or asynchronously. Technologies used may include the internet, print-based media, e-mail, one-way and two-way transmissions through open broadcast, closed circuit, cable, microwave, broadband lines, fiber optics, satellite, or wireless communications devices; audio conferencing; or video cassettes, DVD’s, and CD-ROMs, if the cassettes, DVD’s, or CD-ROMs are used in a course in conjunction with any of the technologies listed.

Institutions must report the highest percentage of distance education available for a program on the list. That is, either hybrid or distance education delivery must be indicated – not both.

Information regarding approval of distance education as a delivery method is discussed in this manual in the section titled: Procedures Required for Approval of Institutional Distance Education Delivery.

Maintenance of the Approved Program List

A copy of the approved program list is provided to candidate and accredited institutions in official communications from the Commission when candidacy, initial accreditation, or reaffirmation of accreditation is granted, and when approvals to change the list of approved programs are granted.

Institutions are provided access to their current list of approved programs through the MyCouncil accreditation management system. Institutions should review the program list at least twice each year to be sure the specifics of each program on the list are accurate and identically match institutional publications and state licenses/approvals.

The Council classifies changes to the approved program list as ‘substantive changes’. The [Handbook of Accreditation](#) provides a detailed chart of these changes under the ‘Programmatic’ heading.

In most instances, applications must be provided and official approval granted in order to change the approved program list once it is established. Site visits and fees are sometimes a part of the approval process. The chart of programmatic substantive changes in the [Handbook of Accreditation](#) provides institutions with information about the process for approval and whether or not fees and site visits are necessary.

The Council's web site (www.council.org) provides institutions with access to all applications required for changing the list of approved programs. When site visits are involved as part of the approval process, the site visit forms used by team members are also available on the web site.

The term 'teach out' sometimes applies to programs on the approved list and is defined as follows.

Teach-Out: This term is used to describe the process of permanently closing (deleting) a program that currently has students enrolled. The teach-out of a program may be accomplished by the institution alone or in agreement with another institution. When a program teach-out is performed by the institution, a teach-out plan and form must be submitted for approval by the Commission. When a program teach-out is performed under an agreement with another institution/organization, a teach-out plan, application, and a copy of the teach-out agreement must be submitted for approval by the Commission. Teach-outs occur most commonly when a program fails to meet enrollment expectations or when it fails to meet one or more student achievement benchmarks within the compliance period allowed and the institution must close the program or risk loss of status with the Council. Programs that are taught out and closed because of failure to meet student achievement benchmarks cannot be added back to the list of approved programs for 12 months after the date of approval. (See the [Handbook of Accreditation](#) for more information on program teach-outs.)

As stated previously in this section, all programs on the approved program list are considered to be 'active' programs. Once a program is 'deleted', it is immediately removed from the list. The Council defines a program deletion as follows:

Deletion: This term is used to describe the termination (closure) of a program offered by an institution. Deletion applies when the institution determines that a program will be permanently removed from its list of program offerings and when no students are currently enrolled. Programs that are deleted because of failure to meet student achievement benchmarks cannot be added back to the list of approved programs for 12 months after the date of approval.

Programs that have no enrollment for 12 consecutive months are classified as 'deleted' and will be removed from the list of approved programs. Adding a program back to the list that had been removed because of lack of enrollment for 12 consecutive months or more requires the submission of a new program application.

Changing the Approved Program List

Institutions applying for changes to the approved program list must do so in a timely manner. Applications for substantive changes must be submitted for approval no less than 90 days prior to implementing the change. Normally, approvals to the approved program list occur within six to eight weeks after submission of a complete application.

Institutions preparing to host an accreditation visiting team may apply for approval of changes to the list of approved programs within six months of hosting the team visit. The chart of substantive changes in the Handbook of Accreditation indicates, specifically, which program changes may be processed during that time. However, no program changes - whether new or pending - will be approved within 60 days of the scheduled dates of accreditation visiting teams.

Limits to Approvals for Changing the Approved Program List

There are five instances when changes to the approved program list (or any other substantive change) are not allowed:

1. Within 60 days prior to hosting an accreditation team visit (a visit that involves the institution writing the self-study document);
2. When an unplanned substantive change approval is pending;
3. When a decision on the appeal of a Commission decision is pending;
4. When an institution has a past-due invoice for payment owed to the Council; and,
5. When a **restrictive** violation status has been imposed against an institution (probation or show cause)

It is important to remember that failure to notify the Commission of a substantive change may result in the imposition of a penalty or cause loss of candidate or accredited status.

REFERENCE: *Handbook of Accreditation: 2016 Edition, pages 7, 31, and 49*

ANNUAL FINANCIAL DATA FOR NON-PUBLIC INSTITUTIONS

A. Annual Submission of Financial Data

Each non-public institution that has candidate or accredited status with the Commission of the Council on Occupational Education is required to submit financial data on an annual basis. The data required for submission each year must include:

1. Audited financial statements prepared by an independent certified public accountant;

Audited financial statements shall adhere to Generally Accepted Accounting Principles (GAAP) and shall be prepared in accordance with Generally Accepted Government Auditing Standards (GAGAS).

At a minimum, the financial statements must include the following:

- (a) Accountant's report
- (b) A balance sheet
- (c) A separate income statement for each main campus
- (d) A statement of cash flow
- (e) All appropriate footnotes to the financial statements and other relevant disclosures
- (f) A composite score calculated using the formula approved by the U.S. Department of Education, if not already included in the audited financial statement. (This requirement applies to all non-public institutions regardless of whether or not they participate in Federal financial aid programs.)

2. A completed COE Financial Questionnaire; and,

The COE Financial Questionnaire must be completed by the institution.

The COE Financial Questionnaire can be obtained from the Council's web site (www.council.org).

Annual financial data is due not later than six months following the date of the end of the institution's fiscal year. The due date for each institution's financial data will be monitored by the Commission staff to ensure timely submission. If financial data are completed in advance of the due date, the institution is encouraged to submit the data as soon as possible. Failure to submit the data by the due date will result in a financial penalty as provided in the Handbook of Accreditation.

B. Submission of Financial Data for Initial Accreditation

For initial accreditation, non-public institutions must submit financial data for the two most recent fiscal years at least 60 days prior to hosting an initial accreditation visiting team. The first of those two years must be the financial data submitted with the institution's candidacy application and the second financial data must represent activity while the institution is in candidate status. Both fiscal years must demonstrate compliance with the Commission's financial stability requirements as stated in Standard 7 - Financial Resources.

C. Third-Party Audit Review

The Commission reserves the right to have any audit reviewed by an independent, third-party auditor. A \$1,500 fee will be assessed to an institution requiring a third-party audit review. This assessment consists of a non-refundable \$250 audit review fee and a \$1,250 deposit to cover the review cost. Any funds left over from the deposit are refunded to the institution. Should there be an outstanding balance after the deposit is applied, the institution must pay the outstanding balance. The institution shall be provided with a statement of expenses incurred.

REFERENCE: *Handbook of Accreditation: 2016 Edition, pages 8, 12, and 65*

GUIDELINES FOR ACTION ON FINANCIAL DATA THAT FAILS TO MEET FINANCIAL STABILITY REQUIREMENTS

Non-public institutions are required to submit financial data to the Commission each year. As stated in the Handbook of Accreditation, institutions must demonstrate financial stability through submission of the most recent financial statement that reflects:

1. A composite score of 1.5 or greater; and,
2. No condition or event which could potentially affect the institution's ability to continue operation, including but not limited to, contingent liabilities, on-going litigation, or the financial stability of a parent corporation.

Financial data is first reviewed and summarized by Commission staff, then presented to the Commission for its review and action at each of its meetings.

Institutions that fail to meet either one of the conditions above will be placed on a status and required to submit documentation. Actions the Commission may take and documentation they may request are outlined below.

CONDITION	COMMISSION ACTION	DOCUMENTATION REQUIRED
1. A composite score equal to 1.0, but less than 1.5	Warning Status (at a minimum)	<p>An audited financial statement completed by an independent CPA for a fiscal year and a completed COE Financial Questionnaire. Both to be submitted on a schedule determined by the Commission.</p> <p>A ¹pro forma financial statement prepared by an independent CPA to be submitted as part of an interim status report.</p> <p>The Commission may require additional documentation or action by the institution on a schedule it determines.</p>
A composite score of less than 1.0	Probation Status (at a minimum)	Same as above
2. Any condition or event which could potentially affect the institution's ability to continue operation, including but not limited to, contingent liabilities, on-going litigation, or the financial stability of a parent corporation.	Warning Status (at a minimum)	<p>Interim reports on the status of contingent liabilities on a schedule determined by the Commission.</p> <p>The Commission may require additional documentation or action by the institution on a schedule it determines.</p>

Time Period for Compliance

The Commission requires institutions to take appropriate action to bring themselves into compliance with all financial stability requirements within a time period that does not exceed:

- (1) Twelve months, if the program, or the longest program offered by the institution is less than one year in length; or,
- (2) Eighteen months, if the program, or the longest program offered by the institution, is at least one year, but less than two years in length; or,
- (3) Two years, if the program, or the longest program offered by the institution, is at least two years in length

The Commission may use its discretion to specify a time period for compliance more restrictive than those listed above, based upon circumstances. Once the stated time period for compliance expires, the institution will be subject to adverse action to be effective by the deadline specified in the Commission's letter. The Commission may extend the time period for compliance with good cause.

¹A *financial statement that* is calculated using an accountant's discretion. It does not follow GAAP or GAGAS. Rather, calculations are computed according to the estimated relevance of certain events/ conditions experienced by the company. Items that are normally included/excluded from an audited financial statement using GAAP may be represented differently in a pro forma statement, depending on what the accountant feels accurately represents the company's true performance. However, the Council requires that each pro forma statement submitted must include a balance sheet, an income statement, and a cash flow statement.

REFERENCE: *Handbook of Accreditation: 2016 Edition, pages 8, 12, and 65*

GUIDELINES FOR ACTION ON PROGRAMS THAT FAIL TO MEET ESTABLISHED BENCHMARKS

Upon completion of the annual report software each year, institutions are provided with a list of completion, placement, and licensure performance rates for each program reported.

Institutions with one or more programs that fail to meet established benchmarks must submit, through the annual report software, an explanation for the program(s) failure to meet the benchmark(s), and a plan of improvement for each triggered program.

Once the annual report is submitted to the Commission office, a summary of all institutional annual report data will be reviewed by the Commission at its next scheduled meeting. Institutions reporting one or more programs that fail to meet one or more of the established benchmarks will be placed on **Warning** status.

Institutions on **Warning** status must submit documentation requested by the Commission by their stated timelines.

Additional actions may be requested by the Commission which may include, but are not limited to, the following:

- (1) Attendance of the chief administrative officer and the placement officer at a Commission-sponsored workshop for reporting completion, placement, and licensure exam pass rate data
- (2) Attendance at a Commission Workshop on Program and Institutional Outcomes or improvement of completion/placement/licensure exam pass rates
- (3) Consultation in person or by telephone with a Commission staff member
- (4) The scheduling of a focused review visit to the institution

Timeline for Compliance

The Commission will require the institution to take appropriate action to bring triggered programs into compliance with the agency's standard within a time period that must not exceed:

- (1) Twelve months, if the program, or the longest program offered by the institution is less than one year in length; or,
- (2) Eighteen months, if the program, or the longest program offered by the institution, is at least one year, but less than two years in length; or,
- (3) Two years, if the program, or the longest program offered by the institution, is at least two years in length

Once the time period for compliance expires, if the institution fails to demonstrate compliance with the established benchmarks for triggered programs, it will be subject to adverse action. The Commission may extend the time period for compliance with good cause. Good cause is defined in the Handbook of Accreditation.

REFERENCE: *Handbook of Accreditation: 2016 Edition, pages 9 and 58*

THE ACCREDITATION PROCESS

TEAM VISITS

A. General

The policy of the Commission is to select highly qualified visiting teams in order to ensure the most effective evaluation of institutions. The visiting teams are composed of professional educators with expertise and experience in administrative and/or academic positions and may include public members. A Commission representative may accompany a visiting team. The institution will be notified as to the membership of the team prior to the distribution of the team roster. A team member may be disqualified by the institution for cause.

A member of a visiting team shall not serve the institution to be visited as a compensated consultant for one year prior to the visit or for a period of two years following the team visit. Anyone who violates this policy will be removed from the roster of possible team members.

Visiting team members must certify that they have no vested interest or conflict of interest in the institution to be visited. Team members must also certify that all documents and information will be treated in a confidential manner.

A visiting team shall not be assigned to any institution that has past due invoices from the Council on Occupational Education.

The Commission uses the following guidelines for establishing teams:

1. Team Leader
 - (a) Must have demonstrated competence in evaluation, leadership, and written composition.
 - (b) Must have served as a member of at least two teams.
 - (c) Must be recommended to serve as future team leader by the leader of a team on which he/she has been a member.
 - (d) Must agree to conduct prescribed activities within the identified time frame.
 - (e) Must attend a workshop for team leaders, which includes the evaluation of programs offered via traditional delivery and distance education, prior to becoming a team leader and must attend a team leader workshop at least once every three years. (NOTE: The Commission may waive this requirement in special circumstances.)
2. Team Members
 - (a) Must be recommended by a team leader, a school director, a state or county department of education representative, or the Commission staff.
 - (b) Must have expertise or experience relevant to the field of occupational education.
 - (c) Must have filed a biographical data sheet with the Commission.

- (d) Must attend a workshop for team members, which includes the evaluation of programs offered via traditional delivery and distance education, prior to becoming a team member and must attend a team member workshop at least once every three years. (NOTE: The Commission may waive this requirement in special circumstances.)

3. Desirable Team Composition

- (a) Administrators and instructors of occupational education institutions accredited by the Commission.
- (b) System wide supervisors, coordinators, and directors of occupational education.
- (c) Teacher educators, student personnel specialists, and lay personnel (who have expertise in occupational education).

Team members are selected who have expertise in the programs offered by the institutions and knowledge of the standards, criteria, conditions, policies, and procedures of the Commission. The team leader and members are selected by the Commission's staff. The team leader and the team members shall come from outside the state of the main campus of the institution and certify that they have no vested interest or conflict of interest in the institution to be visited. (Army, Navy, and Air Force shall be considered as states for this purpose.) The Commission relies on the personal and professional integrity of each visiting team member and expects him or her to be sensitive to potential conflicts of interest in the review process.

B. Candidate Visiting Teams

Upon receipt of a complete application for candidate for accreditation, the Commission staff shall assign a visiting team (usually two members) to evaluate the institution (cost to be borne by the institution). The team usually plans to arrive by noon on the first day and conduct its review through noon on the following day. This enables the team to monitor night sessions and to have adequate time to confer before continuing the visit on the next day. Institutions with a large number of programs and/or multiple campuses may require a longer candidate visit.

The team evaluates the institution to verify that the eligibility requirements are met and to provide information for the Commission to determine that there is reasonable expectation for the institution to become accredited within three years. The candidacy visiting team will submit a written report to the Executive Director within 30 days after completing the site visit. A copy of the visiting team report will be mailed to the institution. The institution must provide the Commission with a response for any findings of non-compliance in the team report within 30 days of the date that the report is mailed to the institution. Cost of the on-site evaluation will be borne by the institution. The Executive Director will determine the amount of the deposit for the team site visit that must be conducted.

C. Accreditation Visiting Teams

A current institutional self-study must be completed by the staff of the institution before the preliminary visit is made. The cost of the preliminary visit as well as the cost of the team visit is to be borne by the institution. The preliminary visit is concluded 30 days prior to the scheduled team visit. The purpose of the preliminary visit is to assure the Commission that the institution is prepared for the team visit and to finalize arrangements for the team visit. The team shall evaluate the educational programs as well as determine compliance with the standards, criteria, conditions, policies, and procedures of the Commission. The Commission staff will determine the number of team members based on relevant factors such as the number of programs, staff members, students enrolled, campuses, distance between campuses, and whether the purpose of the visit is for initial accreditation or reaffirmation. The team normally visits the institution for three to five days depending on the size of the institution, the number and location of the campus(es), and the number of programs offered. All sites of the institution are visited each time an institution goes through the reaffirmation cycle. The composition of the team is determined at the discretion of the Commission staff.

The visiting team leader will submit a written report to the Executive Director within 30 days after completing the site visit. A copy of the visiting team report will be mailed to the institution. The institution must provide the Commission with a response for any **findings of non-compliance** in the team report within 30 days of the date that the report is mailed to the institution. Identification of deficiencies documented during the visit may result in the institution being placed on special status (warning, probation, or show cause) or losing its accreditation. Cost of the on-site evaluation will be borne by the institution. The Executive Director will determine the amount of the deposit for the team site visit that must be conducted.

D. Focused Review Teams

Focused review team visits are conducted when certain substantive applications are received or when, in the judgment of the Commission, a re-evaluation of the institution's compliance with the Commission's standards, criteria, conditions, policies, and/or procedures is necessary (cost to be borne by the institution). In either circumstance, the number of team members and the length of the visit are determined by the Commission's staff based on relevant factors such as the purpose of the visit, the number of campuses to be visited, and the distance between the campuses to be visited. Focused review visits may require from one to five days on campus depending on the nature of the visit. Focused review visits may be conducted as announced or unannounced visits.

The focused review team leader will submit a written report to the Executive Director within 30 days after completing the site visit. A copy of the visiting team report will be mailed to the institution. The institution must provide the Commission with a response for any **findings of non-compliance** in the team report within 30 days of the date that the report is mailed to the institution. Identification of deficiencies documented during the visit may result in the institution being placed on special status (warning, probation, or show cause) or losing its accreditation. Cost of the on-site evaluation will be borne by the institution. The Executive Director will determine the amount of the deposit for the team site visit that must be conducted.

E. Observers on Visiting Teams

The Commission's policy regarding observers of team visits differentiates between out-of-state and in-state observers. An observer is defined as an individual who is not chosen by the Commission staff to serve on a visiting team but who participates in all activities of the team visit except for evaluation of any aspect of the institution, deliberations of the visiting team, and decisions of the team.

An out-of-state individual may request to be an observer by writing the Commission. An observer is assigned to a visiting team only after receiving Commission staff approval and when concurrence is obtained from the institution to be evaluated. Upon institutional concurrence, the observer is notified and sent appropriate materials from the team leader, the institution, and the Commission. The Commission may include staff of the U.S. Department of Education or out-of-state agencies on the visiting team. When an individual is invited by the Commission to be an observer, the expenses are reimbursed by the Commission. Persons observing at their own request are responsible for their own expenses.

With respect to in-state observers, the policy of the Commission is not to allow observers (as defined above) on visiting teams to institutions within the state of the observer's residence. Institutions being visited may permit in-state observers to visit the institution during the team evaluation; however, in-state observers do not have access to the team meetings.

REFERENCE: *Handbook of Accreditation: 2016 Edition, page 11*

APPEAL PROCESS

The Handbook of Accreditation describes the appealable actions of the Commission, the grounds for appeals, and the basic requirements to initiate an appeal. The Commission is charged with the responsibility of defining procedures to ensure that the appeal process is fair and equitable for all parties. The procedures below are designed to achieve this requirement.

A. Request for Reconsideration

The institution may, only on one occasion, seek reconsideration by the Commission of significant financial information that was unavailable to the institution or program prior to an adverse action, and that bears materially on the financial deficiencies identified by the Commission. This review shall take place prior to the appeal board consideration of the adverse action. The adverse action must have been based solely upon a failure to meet a standard or criterion pertaining to finances. The Commission's determination relative to significance or materiality of the new financial information is not separately appealable by the institution.

B. Appeal Document

The institution must submit an appeal document (in PDF format) to include a table of contents and consecutively numbered pages to the Executive Director electronically at least 10 days in advance of the commencement of the appeal board proceedings. The appeal document shall set out, in detail, all of the facts and arguments, which the institution believes, support a reversal or modification of the Commission's action and include all documentation to support its appeal.

Upon receipt of the institution's appeal document, the Executive Director will provide the institution with a copy of the Commission's documents (in PDF format) for the Appeal Board electronically.

C. Appeal Panel

The appeal panel shall be composed of 45 members (15 to be elected each year). Members of the appeal panel shall be nominated by the Council Committee on Nominations and elected by the Council membership from among the chief administrative officers of institutions accredited by the Commission. The panel members shall be selected on the basis of their academic and administrative expertise and experience in occupational education and their familiarity with the Commission's standards, conditions, policies, and procedures. Elected panel members may serve out their full three-year terms, even if they retire or change positions. An appeal panel member may be removed by the Commission for cause.

After receiving a formal, complete, and properly filed notice of intent to appeal, the Commission Executive Committee shall name a five-member appeal board plus one alternate member from among the members of the appeal panel. Board selections shall fulfill academic and administrative classifications, and at least one of the five-member appeal board selected will represent the general public. The alternate member selected will also be a public member in the event that the initial public member selected is unable to continue during the appeal. This will ensure that a public member will have the opportunity to affect the decision outcome of the appeal.

One member of the appeal board shall be named chair, and one member shall be named vice-chair. The institution will be provided with the names of members elected to the appeal board. Within 15 days, the institution may veto, with cause, any member elected to this first appeal board. Replacements for members vetoed by the institution shall be named from the appeal panel by the Commission Executive Committee and are not subject to veto by the institution.

The alternate board member shall attend all appeal board proceedings, and shall replace any regular board member who cannot fulfill his/her responsibilities. The vice-chair will preside in the absence of the chair.

Commission members and Commission staff shall not be elected as members of the appeal panel. Should a member of the appeal panel be elected to serve as a Commission member, he/she will be automatically removed from the appeal panel. Appeal panel members from the same state as the aggrieved institution shall not serve on the appeal board. Each selected Appeal Panel Board member shall certify that he/she has no vested interest or conflict of interest in the aggrieved institution.

F. Expense of Appeal

The notice of intent to appeal must be accompanied by a cashier's check in the amount of \$30,000 to cover the cost of the appeal. The \$30,000 consists of a non-refundable \$5,000 notice-of-intent-to-appeal fee and a \$25,000 deposit to cover the costs of the Appeal Board proceedings. Any funds left over from the deposit are refunded to the institution. Should there be an outstanding balance after the deposit is applied, the institution must pay the outstanding balance. The institution shall be provided a statement of expenses incurred.

The institution will bear all direct costs in connection with the appeal including but not limited to the following:

1. Travel and subsistence of appeal board members participating in the appeal review and proceedings.
2. Cost of proceedings room.
3. All direct costs of the appeal, such as stenographic costs, mailing or distribution of appeal documents, and communication services.
4. Travel and subsistence of three official Commission representatives.
5. Court reporter costs.
6. Cost of Commission Legal Counsel should the appeal board affirm the action of the Commission.

G. Appeal Board Proceedings

The Executive Director will set the date, time, and place of the proceedings of the appeal board at least 30 days in advance and so notify the institution and members of the appeal board in writing. The institution shall provide the Executive Director with the names, addresses, and positions of all individuals whom the institution wants to be heard by the appeal board at least 10 days before the date for the proceedings.

The Commission chair shall designate the persons who are to appear on behalf of the Commission. The Commission chair shall submit to the appeal board and the institution a list of names, addresses, and positions of persons whom the chair has asked to appear before the appeal board at least 10 days before the date of the proceedings.

The appeal board proceedings shall be conducted as follows:

1. The chair shall preside and act to maintain decorum. He/she shall ensure that the participants have a reasonable opportunity to be heard and to present all relevant oral and written documentation. The chair may limit presentation of documentation to avoid repetition. He/ she shall have the right to vote and the authority to rule on questions which pertain to the conduct of the hearing.
2. The Commission considers an appeal to be an adversarial proceeding. The institution does not have the right to cross-examine individuals, such as the staff, members of the evaluation team, or Commission members. Only the appeal board members have the right to question individuals present at any hearing. Appeals are administrative, not judicial hearings; and, therefore, the legal rules of evidence are not applicable. Hearings on appeals are closed to the public. The institution shall not present any new documentation concerning the progress of the institution or the remedying of deficiencies since the date of the Commission's action which is being appealed. The institution has the right to be represented by legal counsel at the appeal.
3. Legal counsel will be present to advise the appeal board.
4. A court reporter will produce a transcript of the proceedings.
5. All of the oral and written documentation shall be considered by the board in relation to the specific grounds of appeal.

All members of the appeal board shall attend all of the proceedings. Proceedings shall be scheduled to effectuate their attendance. The designated chair shall preside at all proceedings and will rule on all procedural matters. Decisions of an Appeal Board will be based upon a majority vote of the board's members.

H. Limitations

The Appeal Board shall act within the following limitations:

1. The Appeal Board shall not include current members of the Commission that took the initial adverse action against the institution.
2. The appeal board affirms, amends, remands, or reverses the adverse actions of the original decision making body.

I. Responsibility

The appeal board has the responsibility to prepare a written report for the chief administrative officer of the institution and for the Commission. The report will give the decision of the board and the reasons for the decision. The report must be sent to the Executive Director within 30 days following the last day of the board proceedings. The Executive Director will send one copy to the institution and place the report on the agenda of the next Commission meeting. The Commission will receive the report of the appeal board, will implement the appeal board's decision, and will act in a manner consistent with the appeal board's decision regarding the institution's or program's accreditation status.

REFERENCE: *Handbook of Accreditation: 2016 Edition, page 16*

OBLIGATIONS OF AFFILIATION

FULL-TIME EQUIVALENT

The Commission definition of Full-Time Equivalent (FTE) is a unit of measurement used to determine the amount of instruction that equates to one full-time student during one full year. The Commission has chosen to define one FTE as 900 student contact clock hours, 45 quarter credit hours, or 30 semester credit hours of instruction.

In establishing a rationale for specification of FTE, the Commission recognizes that numerous methods may be used by states and institutions for calculating FTE. While many institutions are open twelve months each year, some operate for only nine or ten months. Within some institutions, there are both full-time and part-time students engaged in twelve-month programs, nine-month programs, evening short courses, off-campus instruction, part-time skill upgrade instruction, and possibly other types of instructional activity. Among these institutions, some programs are measured in semester or quarter hours, particularly if they are degree programs, while other programs are measured in student contact clock hours. The Commission desires to conform to general practice in the technical education community to the extent feasible and, therefore, has adopted this definition of an FTE for its reporting purposes.

The FTE reported on the Annual Report each year determines the amount of dues that each institution will owe the following fiscal year. The FTE for all types of program measurement at each branch, extension, extended classroom, instructional service center, and postsecondary auxiliary instructional site must be added to the FTE for the main campus to obtain the total FTE for the institution.

With Commission approval, military institutions and Job Corps Centers may apply routinely used alternative methods of computing enrollment that yield a sufficiently accurate approximation of the FTE.

REFERENCE: *Handbook of Accreditation: 2016 Edition, page 23*

COST OF TEAM VISITS

Institutions must reimburse the Council for actual expenses of team members, staff members, and/or Commission representatives. Reimbursable expenses include travel, lodging, and meals of the team, staff members, and/or Commission representatives. (There is no charge for salaries of team members, staff members, or Commission representatives.)

In addition to the expenses mentioned above, the Council will assess a fee of \$1,000 for initial accreditation and renewal of accreditation. This fee is non-refundable.

Institutions shall not reimburse team members, staff members, or Commission representatives directly. All reimbursements are made in accordance with the policies and guidelines of the Council. Local institutional travel policies do not apply to team visits since the individuals conducting the visits act as agents of the Commission. The Council will contract with institutions or school systems that cannot otherwise reimburse the Council for team visit expenses.

The Executive Director will determine the amount of the deposit for each team visit that must be received at least 30 days in advance of the date on which the team visit begins. The institution shall be provided a statement of expenses incurred. Unused funds from the deposit shall be returned provided that the institution has no other outstanding debt with the Council; otherwise, unused funds will be applied toward any outstanding debt the institution owes the Council. Any costs in excess of the deposit must be paid by the institution.

REFERENCE: *Handbook of Accreditation: 2016 Edition, page 24*

DEBARMENT APPEAL PROCEDURES

A. Notice of Appeal

A person debarred by the Commission may appeal the debarment decision by submitting a written notice of intent to appeal to the office of the Council on Occupational Education within 20 days of the date of the letter notifying the person of the debarment decision. The person (appellant) must state in the letter the grounds for the appeal and whether the appeal review will be conducted with a hearing or without a hearing.

B. Appointment of a Debarment Appeal Board

The appeal proceeding will be conducted by a three-member Debarment Appeal Board appointed by the Commission Chair from among the 45 members of the Council Appeal Panel. The Commission Chair shall designate one member of the Debarment Appeal Board as Board Chair. In any instance where two or more debarments are imposed by the Commission based on the same set of facts and/or conditions, the Debarment Appeal Board may consider any or all appeals in one proceeding. The Debarment Appeal Board Chair will establish deadlines for the submission of documentation to be considered by the Board and the subsequent schedule for the conduct of the proceeding.

C. Review without Hearing

If the appellant does not request a hearing, the Debarment Appeal Board shall meet to determine its decision regarding the appeal based on the appellant's notice of intent to appeal and any supporting documentation and written arguments submitted by the appellant in accordance with the time schedule established by the Board Chair. The Debarment Appeal Board may consult with legal counsel of the Commission in reviewing the case and making its decision on the appeal. The decision of the Debarment Appeal Board shall be transmitted to the Commission for final action at its next meeting. The appellant shall be notified of the Commission's final action within 30 days of its decision.

D. Review with Hearing

The appellant may have a hearing before the Debarment Appeal Board if requested in the letter notifying the Commission of the intent to appeal the debarment. The Chair of the Debarment Appeal Board shall notify the appellant of the date, time, and place for the hearing and the deadline for receiving in advance of the hearing any written submissions including documentation and arguments related to the debarment from the appellant and legal counsel for the Commission. Such submissions must be received in the Council's office by the established deadline. The following procedures will be applicable to the hearing:

1. The appellant shall have the burden of demonstrating that the debarment should be set aside or modified.

2. The Debarment Appeal Board Chair shall establish the amount of time that will be allotted for the hearing, taking into account the number of persons whose appeals are being heard concurrently. The appellant may be represented by legal counsel. The time for the hearing will be divided between the appellant and the Commission so as to give the Commission time to present its case for debarment and the appellant time to present a rebuttal argument.
3. The Debarment Appeal Board's decision on the appeal will be transmitted to the Commission within 30 days of the conclusion of the hearing for final action at its next meeting. The appellant will be notified of the Commission's action within 30 days of the Commission's decision.

E. Authority of the Debarment Appeal Board

The Debarment Appeal Board shall have the authority to recommend any of the following actions:

1. Affirmation of the Commission's debarment decision.
2. Reversal of the debarment decision if it finds that the Commission's decision was arbitrary, capricious, or contrary to the substantive obligations for accreditation by the Commission.
3. Modification of the Commission's debarment decision based upon newly discovered substantive information, reversal of the grounds used for the debarment, or other material grounds deemed applicable by the Debarment Appeal Board.

F. Expenses of the Debarment Appeal Board

The appellant shall bear all expenses of the debarment appeal, including but not limited to the cost of travel and subsistence for the Debarment Appeal Board and two Council representatives, court reporter services, Commission legal counsel, hearing room, and any other direct costs of the appeal. The Council will require a deposit prior to the appeal review whether with or without a hearing based on estimated costs of the appeal. Failure to pay the deposit by the due date shall be grounds for dismissal of the appeal without further recourse.

REFERENCE: *Handbook of Accreditation: 2016 Edition, page 25*

Substantive and Other Changes

CHANGE OF OWNERSHIP OR CONTROL

Accreditation does not transfer with a change of ownership or control of an institution. Reaffirmation of accreditation cannot be granted until a change of ownership or control has received final approval by the Commission. Also, an application for a change of ownership or control will not be accepted until any substantive changes requiring a site visit have been granted final approval or until the Commission has granted initial accreditation or reaffirmation of accreditation following an accreditation team visit. The Handbook of Accreditation, change of ownership is defined as follows:

- (a) For-Profit Corporation: A change of ownership is defined as the transfer of at least 50% of the assets to another person. A change of ownership or constructive ownership of stock occurs at the time a person obtains or accumulates at least 50% of the total combined voting power of all classes of stock entitled to vote or at least 50% of the total value of shares of all classes of stock. Person includes an individual, trust, estate, partnership, association, company, or corporation. If the owner of an institution dies or retires, and the owner's interest is sold or transferred to either a family member or another current owner of the corporation who has been active in the management of the institution for the past two years prior to the aforementioned action, it will not be treated as a change of ownership. A change from for-profit to not-for-profit constitutes a change of ownership. A change from a sole proprietorship to a corporation constitutes a change of ownership.
- (b) Not-For-Profit Corporation and Organizations Other Than Corporations: A change of control occurs when 50% or more of the members of the governing board change or 50% or more of the controlling parties change. The membership of record with the Council for the board or controlling parties is the membership at the time candidacy is granted or approval is granted following a change of control. A change from not-for-profit to for-profit constitutes a change of control.

The procedures defined by the Commission for approval of a change of ownership or control of an institution are described below.

A. Change of Legal Ownership or Control of Total Institution

Accreditation does not transfer with a change of ownership or control of an institution. The institution must notify the Commission in a letter sent by certified mail or other signature-required delivery service at least seven days prior to a change of ownership or control. Upon legal change of ownership or control and if the institution desires to be accredited, a completed Application for Change of Ownership or Control and cashier's check for the application fee must be received in the Council office by the Executive Director within 14 days. The application must include the institution's audited financial statements prepared by an independent certified public accountant for the two most recent fiscal years. It must also include the purchaser's audited financial statements prepared by an independent certified public accountant for the two most recent fiscal years. In addition, the purchaser must submit an audited balance sheet prepared by an independent certified public accountant for the institution as of the date of purchase to be received in the Council office within 30 days after the closing date. Financial statements shall

adhere to Generally Accepted Accounting Principles (GAAP) and shall be prepared in accordance with Generally Accepted Government Auditing Standards (GAGAS).

At the time of the receipt of the Application for Change of Ownership or Control, the Commission considers the change in ownership or control final. In the event that, for any reason, the ownership or control reverts back to the previous owner(s) or non-profit board/controlling parties, a new application for candidate for accreditation must be filed.

Upon receipt of the Application for Change of Ownership or Control, the Executive Director shall review the application and may request additional documentation. The Executive Director shall then refer the application to the Commission for review and action at its next meeting. The Commission reserves the right to require a preliminary visit to any institution prior to granting initial approval of **a change of ownership or control**.

An on-site visit will be conducted within 180 days after initial approval of the **change of ownership or control**. A team (which may include a Commission representative) will visit the institution to verify the accuracy of information provided by the institution in its substantive change application and to ensure that the institution continues to comply with the standards, criteria, conditions, policies, and procedures of the Commission. The visiting team will submit a written report to the Executive Director within 30 days after completing the site visit. A copy of the visiting team report will be transmitted to the institution. The institution must submit a response to all **findings of non-compliance** to be received in the Council office by the Executive Director within 30 days of the date that the report is transmitted to the institution. The institution's response report, if required, must provide documentation that deficiencies or violations of standards, criteria, and/or conditions of accreditation have been corrected.

Cost of the on-site visit will be borne by the institution. The Executive Director will determine the amount of the deposit for the team site visit that must be conducted.

Initial approval for substantive changes will be revoked should the institution fail to host any required site visit within 180 days from the effective date of initial approval. The institution will then be placed on the next Commission agenda for consideration of adverse action and penalties may apply.

The Commission will review the application, financial statements, team report, and the institution's response report, if required, and will make a final decision on the **change of ownership or control** at the next Commission meeting. Should the institution be denied **approval of the change of ownership or control, candidate or accredited status is terminated**. The institution may appeal the decision in accordance with procedures specified by the Commission. If the final decision of the Commission is for accreditation to be reinstated, the Commission may require the new owner(s) and/or chief administrative officer to attend the next accreditation workshop held by the Council.

B. Change of Ownership or Control of a Branch or Extension

If an institution sells or otherwise disposes of a branch or extension, the accreditation of the branch or extension will be discontinued simultaneously with the sale or disposal action that results in a change of ownership or control. If an accredited institution acquires a branch or extension and wishes to continue to operate it as a branch or extension, the procedures required to establish a new branch or extension shall be followed. Should the new owner or non-profit board wish to make the branch or extension an accredited main campus, it must make application for candidate for accreditation.

C. Change of Ownership or Control of Candidate for Accreditation

Institutions granted candidacy for accreditation may not change ownership or control while in candidate status.

D. Partial Change of Ownership or Control

If a partial change of ownership or control (i.e., less than 50%) occurs for a candidate or accredited institution, the Commission must be informed within the time periods prescribed below:

- (i) If less than 50% of the assets of a for-profit corporation are transferred to another person, notification of the transfer must be received in the Commission office at least 30 calendar days before the date that the transfer occurs.
- (ii) If fewer than 50% of the members of the governing board or 50% of the controlling parties of a not-for-profit organization or organization other than a corporation change, notification of the change must be received in the Commission office within 14 calendar days after the date that the change occurs.

REFERENCE: *Handbook of Accreditation: 2016 Edition, pages 30 and 35*

CHANGE OF LOCATION

A change of location is defined as a physical relocation of an existing main, branch, or extension campus within the institution's service area.

An institution desiring to relocate a main, branch, or extension campus must submit an application to the Commission for initial approval at least 90 days prior to the change of location unless the move is an unplanned relocation, thereby constituting an unplanned substantive change. An application for a change of location will not be accepted until any substantive changes requiring a site visit have been granted final approval. The application shall include the following:

1. Rationale for change of location.
2. Documentation of planning that took place including minutes, long-range plan, annual report, needs assessment, and other relevant documentation.
3. Distance of new location from the old location, and whether the new location is within the same service area. (Service area is defined as the contiguous geographical area surrounding the institution from which the institution expects to attract students and serve employers.)
4. Budget to include major categories such as administration, instructional programs, personnel salaries, plant maintenance, lease or rent of building, insurance, custodial services, and security service. (Provide projected revenue, expenditures, and cash flow.)
5. Plan for accommodating students (to include teach-out agreements made with other institutions or agencies as well as refunds to students not wishing to relocate).
6. Information concerning programs to be offered at new location. (A New Program Application for each new program and/or Change in Existing Program Application for any program to be changed in length or content must be submitted.)
7. Single line drawing with dimensions of facilities to be used with each area identified.
8. Copy of license, if required, indicating the new location's address.
9. Copy of lease agreement, if applicable.
10. Copy of applicable insurance.
11. Check for \$500 Change of Location fee.

Upon receipt of all of the above documents, the Executive Director shall review the application and may request additional information. The Executive Director shall then refer the application to the Commission for review and action at its next meeting. The Commission reserves the right to require a preliminary visit to the institution prior to granting initial approval of the change of location.

Failure to provide advance notification may call into question the entire institution's accreditation.

Within 180 days after the new location is granted initial approval, an on-site visit will be conducted to the new location. The visiting team (which may include a Commission representative) will verify the accuracy of information provided by the institution in its substantive change application and consider the adequacy of the new location. The visiting team will submit a written report to the Executive Director within 30 days after completing the site visit. A copy of the team report will be mailed to the institution. The institution must submit a response to all **findings of non-compliance** to the Executive Director within 30 days of the date that the report is mailed to the institution. The institution's response report, if required, must provide documentation that deficiencies or violations of standards, criteria, and/or conditions of accreditation have been corrected.

Cost of the on-site evaluation will be borne by the institution. The Executive Director will determine the amount of the deposit for the team site visit that must be conducted.

Initial approval for substantive changes will be revoked should the institution fail to host any required site visit within 180 days from the effective date of initial approval. The institution will then be placed on the next Commission agenda for consideration of adverse action and penalties may apply.

The Commission shall review the application, the team report, and institutional response, if required, and will make a final decision on the change of location at its next meeting.

REFERENCE: *Handbook of Accreditation: 2016 Edition, pages 30 and 36*

PROCEDURES REQUIRED TO ESTABLISH A NON-MAIN CAMPUS SITE (Branch, Extension, Instructional Service Center, Extended Classroom)

The different types of non-main campus sites are defined in the Handbook of Accreditation. Refer to those definitions to determine the appropriate type of applications required for approval.

An institution must submit an application when planning to establish a new non-main campus site at least 90 days prior to becoming operational. Applications for new sites will not be accepted until any substantive changes requiring a site visit have been granted final approval or until the Commission has granted initial accreditation or reaffirmation of accreditation following an accreditation team visit. Failure to provide advance notification may call into question the entire institution's accreditation. Failure to submit applications in a timely manner may delay approval.

Upon receipt of a completed application, the Executive Director shall review the application and may request additional documentation. The Executive Director shall then refer the application to the Commission for review and action at its next meeting. The Commission reserves the right to require a preliminary visit to any potential site prior to granting initial approval.

The approval process for new sites shall include, but is not limited to, a thorough review of programs, financial resources, physical resources, human resources (administration and management), of both the main campus and the new site.

Failure to provide advance notification may call into question the entire institution's accreditation.

Within 180 days after the new site is granted initial approval, an on-site visit will be conducted at the new site and the main campus. New sites being considered for final approval must be in full operation with students attending prior to hosting an on-site visit. If the site campus being considered is not in full operation with students attending within 180 days from the effective date of initial approval, initial approval of the site will be rescinded. The visiting team (which may include a Commission representative) will consider the adequacy of the site and its potential impact on the institution as a whole. The visit will verify the accuracy of information provided by the institution in its substantive change application and that the additional location has the personnel, facilities, and resources it claims to have in its application for approval of the additional location. (Information contained in the application also contributes to making this determination.)

Initial approval for substantive changes will be revoked should the institution fail to host any required site visit within 180 days from the effective date of initial approval. The institution will then be placed on the next Commission agenda for consideration of adverse action and penalties may apply.

The visiting team will submit a written report to the Executive Director within 30 days after completing the site visit. A copy of the visiting team report will be mailed to the institution. The institution must provide the Commission with a response for any **findings of non-compliance** in the team report within 30 days of the date that the report is mailed to the institution. Identification of deficiencies documented during the visit may result in the institution's being placed on special status (warning, probation, or show cause) or losing its accreditation. Cost of the on-site evaluation will be borne by the institution. The Executive Director will determine the amount of the deposit for the team site visit that must be conducted.

The institution's response report, if required, must provide documentation that deficiencies or violations of the standards, criteria, and/or conditions of accreditation have been corrected. The Commission will review the application, the team report, and institutional response, if required, at its next meeting and will make a final decision on extending accreditation to include the new site.

REFERENCE: *Handbook of Accreditation: 2016 Edition, pages 30 and 33*

PROCEDURES REQUIRED FOR APPROVAL OF A CHANGE OF SCOPE: Credentials Awarded

A change of scope is defined as any instance in which an institution departs significantly from its mission in regard to the occupational areas for which it offers preparation or the credentials it offers for successful completion of its programs (certificates, diplomas, associate degrees).

Institutions seeking approval for a change in credentials awarded (from certificates/diplomas to associate degrees) must submit an application for approval of new associate degree programs. Applications for an institution's initial associate degree will not be accepted until any pending substantive change applications requiring a site visit have been granted final approval by the Commission.

Institutions must submit a different application when planning to change the occupational area for which instruction will be provided by an institution. This application must be accompanied by a new program application from the occupational area resulting in the institution's change in programmatic scope. Applications for a Change of Programmatic Scope will not be accepted until any pending substantive change application requiring a site visit has been granted final approval by the Commission or until the Commission has granted initial accreditation or reaffirmation of accreditation following an accreditation team visit. Failure to provide advance notification may call into question the entire institution's accreditation.

Upon receipt of a completed application, the Executive Director shall review the application and may request additional documentation. The Executive Director shall then refer the application to the Commission for review and action at its next meeting. The Commission reserves the right to require a preliminary visit to any institution prior to granting initial approval of a change of programmatic scope.

Within 180 days after the change of programmatic scope is granted initial approval, an on-site visit will be conducted at all locations where the instruction occurs. Prior to hosting the on-site visit, the institution must have fully implemented the change of programmatic scope, and students must be enrolled in the program(s) described in the scope change application. If the change of programmatic scope being considered is not in full operation with students attending within 180 days from the effective date of initial approval, initial approval of the site will be rescinded. The visiting team (which may include a Commission representative) will verify the accuracy of information provided by the institution in its substantive change application and will consider the adequacy of the program's instruction and resources as well as its potential impact on the institution as a whole. The visiting team will submit a written report to the Executive Director within 30 days after completing the site visit. A copy of the visiting team report will be mailed to the institution. The institution must provide the Commission with a response for any **findings of non-compliance** in the team report within 30 days of the date the report is mailed to the institution. Identification of deficiencies documented during the visit may result in the institution being placed on special status (warning, probation, or show cause) or losing its accreditation. Cost of the on-site evaluation will be borne by the institution. The Executive Director will determine the amount of the deposit for the team site visit that must be conducted.

The institution's response report, if required, must provide documentation that deficiencies or violations of standards, criteria, and/or conditions of accreditation have been corrected. The Commission shall review the application, the team report, and institutional response, if required, at its next meeting and will make a final decision on extending accreditation to include the change of programmatic scope.

REFERENCE: *Handbook of Accreditation: 2016 Edition, page 31*

PROCEDURES REQUIRED FOR APPROVAL OF CHANGES IN EXISTING PROGRAMS

The Council defines a change in an existing program previously approved by the Commission as one that:

- (1) Increases or decreases the length required for completion of the program and award of a credential; and/or,
- (2) Changes the method of instructional delivery for the program

These changes must be reported to and approved by the Commission no later than 90 working days prior to the change taking place. The process for review and approval differ depending on the degree to which the changes affect the length of a program and its method of delivery and are detailed below.

Increase/Decrease in Length of Less than 25%

Changes made to programs that result in an increase or decrease of less than 25% of the total hours required for completion of the program and an award of a credential previously approved by the Commission must be reported to the Commission through an application.

The application requires the institution report, course by course, the specific changes made in the curriculum as well as the submission of copies of all applicable local, state, and/or federal level approvals (if required), an application fee, and other supporting documentation specified in the form.

Substantive changes of this type are reviewed by the staff. Approval for the change may be granted by the Executive Director, or the review and approval may be referred to the Commission for action. All changes approved by the Executive Director are subject to final approval by the Commission.

Increase/Decrease in Length of 25% or More and Changes in Instructional Delivery Methods

Changes made to programs that result in an increase or decrease of greater than 25% of the total hours required for completion of the program and an award of a credential previously approved by the Commission, and those that change the method of instructional delivery for programs, are considered substantial in nature and must be reported to the Commission through an application.

One application is used to report changes in length and/or changes in delivery methods. The application requires the institution report, course by course, the specific changes made in the curriculum and/or instructional delivery method (if applicable), as well as the submission of copies of all applicable local, state, and/or federal level approvals, if required, an application fee, and other supporting documentation specified in the form.

Substantive changes in length of programs (25% or more) are reviewed by the staff, but approval is granted only by the Commission.

If the program is to be delivered to any degree via distance education delivery methods, and the institution has not been previously approved to offer instruction via distance education, an application for approval of Institutional Distance Education must be submitted. Institutional approval is required only once. Approval for changing the delivery mode of instruction will not be issued until the Institutional Distance Education application has been approved by the Commission. Exemption: Institutions offering Commission-approved distance education instruction prior to July 1, 2007 are not required to file the application for approval of Institutional Distance Education.

Institutions that seek approval for the first (initial) program that includes a distance education mode of delivery – whether it is Hybrid or Distance Education AND that is also currently-approved by the Commission, requires a virtual visit within 180 days of initial approval. The Commission must grant both initial approval of the application and final approval after the site visit has been performed. (NOTE: Approval for initial programs with a distance education mode of delivery may require a physical site visit as well; therefore, a \$3000 deposit for a physical site visit may be required by the Commission.)

Approval for an institution's subsequent conversion of a currently-approved Traditional Program to a Hybrid Program where the institution is approved to offer Distance Education by the Council may be initially approved by the Executive Director, or may be referred to the Commission for review and action. Also, the Commission may require a virtual visit prior to approval. Virtual visits, if required, will take place within 180 days of initial approval. The Commission will grant final approval.

Approval for an institution's subsequent conversion of a currently-approved Traditional or Hybrid program to a full Distance Education program may be approval by the Executive Director, or it may be referred to the Commission for action. A virtual visit will follow within 180 days of initial approval. The Commission will grant final approval.

It is important, when considering changes to distance education delivery methods, to note that the Commission's eligibility requirements specify that institutions must utilize a campus-based instructional delivery system with at least 25 percent of the institution's total FTE being derived from enrollments in traditional programs.

Failure to implement approved substantive changes within 180 days of the effective date of approval will result in the revocation of the initial approval of the change. Initial approval of the change may also be revoked if, when required, an institution fails to host a site visit. If this occurs, the institution will be placed on the next Commission agenda for consideration of adverse action and penalties may apply.

REFERENCE: *Handbook of Accreditation: 2016 Edition, page 31*

PROCEDURES REQUIRED FOR APPROVAL OF INSTITUTIONAL DISTANCE EDUCATION DELIVERY

Standard Two – Educational Programs, as presented in the Handbook of Accreditation, applies to all programs offered by member institutions regardless of their mode of delivery. The Council does not accredit institutions that offer instruction via correspondence education.

Institutions engaged in or investigating the possibility of offering instruction via distance education must maintain compliance with the Council's eligibility requirements and other conditions applicable to candidacy and accreditation as printed in the the latest edition of the Handbook of Accreditation.

Contracts for instruction are common in programs offered via distance education. However, accredited institutions must maintain compliance with the Commission's conditions regarding contractual agreements. Further information on contractual arrangements may be found in the latest edition of the Handbook of Accreditation and in these Policies and Rules.

A. Institutional Distance Education Approval

Applying for approval to begin distance education instruction involves completing an Institutional Distance Education application. This application addresses applicable criteria in the standards regarding technical infrastructure, timeliness of faculty responses to students, and privacy and security, among other concerns. Institutional Distance Education approval is required only once. A fee of \$1,000 is due with submission of the application.

Approval of Institutional Distance Education applications will require a virtual visit and may involve a physical site visit as well. Site visits will be conducted within 180 days after initial approval is granted. The application is reviewed by the Commission for final approval.

Once an institution receives Institutional Distance Education approval, applications for programs with a distance education delivery method will be considered. Distance education program applications may be submitted in conjunction with the Institutional Distance Education application.

B. Hybrid Programs

Applying for approval to begin distance education instruction involves completing an Institutional Distance Education Approval application. Once Institutional Distance Education approval is granted, institutions may apply for approval to offer hybrid programs (where less than 50% of required hours are available via distance education).

If an institution's initial program offering that includes a distance education delivery method is a hybrid program (where less than 50% of required hours are available via distance education), the institution is required to submit the appropriate program application for approval. A virtual visit will be made and a physical site visit may be made as well. The Executive Director shall review the application and may request additional information. The Executive Director shall then refer the application to the Commission for review and approval.

A site visit will be conducted within 180 days after initial approval is granted. The application is reviewed by the Commission for final approval.

C. Distance Education Programs

Once Institutional Distance Education approval is granted, approval for a distance education program offering (where 50% or more of required hours are available via distance education) requires submission of the appropriate program application. A virtual visit will be made and a physical site visit may be made as well. The Executive Director shall review the application and may request additional information. The Executive Director shall then refer the application to the Commission for review and approval.

A site visit will be conducted within 180 days after initial approval is granted. The application is reviewed by the Commission for final approval.

REFERENCE: *Handbook of Accreditation: 2016 Edition, page 31*

Special Requirements for Monitoring Institutional Growth

A. Full-Time Equivalent for Public and Non-Public Institutions

COE monitors increases in total Full-Time Equivalent (FTE) of candidate and accredited institutions by requiring reports from institutions when triggered increases occur. An institution must submit a formal notice to the Commission if the institution has an overall increase in FTE of 25 percent or more of an established baseline. The baseline for each twelve-month period is the FTE calculation reported in the most recent annual report. When an increase of 25 percent or more is achieved, a formal notice must be submitted to the Commission within 30 days. This notice must include rationale for the increase as well as specific data on enrollment in all programs and for all campuses that experienced significant growth involved in the increase of total institutional FTE. Continued reporting of enrollment data by program will be required until the submission of the next institutional annual report.

B. Gross Revenue for Non-Public Institutions

Additionally, COE considers increases in gross revenue an indicator of institutional growth. Non-public institutions that experience increases in gross revenue of 100% or more from the previous year must submit a detailed explanation of the increase to the Commission along with a financial report (which may be internally generated) that demonstrates the increase. The explanation and financial report must be submitted to the Commission within 30 days after the experienced increase. An institution that fails to notify the Commission on a timely basis when required due to an increase in gross revenue is subject to fees and penalties per the Handbook of Accreditation.

REFERENCE: *Handbook of Accreditation: 2016 Edition, page 39*

Contractual Agreements

A. Contracts for Recruiting and Consulting Services

An accredited institution that enters into a contract for recruiting or consulting services with any agency, corporation, institution, or individual must submit a copy of the contract and an official notification form to the Executive Director.

Each contract must include a conditional statement stipulating that the contract is not binding in the event that activities involved in the contract prevent the member school from complying with the standards, criteria, and conditions adopted by the Council.

The Commission will review all submissions. The Commission may determine that a third-party review of applications and contracts be performed. In this case, a fee to cover the cost of the third-party review will apply.

B. Contracts for Instruction

The Commission classifies contracts for instruction with external entities as substantive changes. External entities are defined as agencies, corporations, institutions, or individuals. These external entities may or may not be certified to participate in Title IV, HEA programs.

Accredited institutions that are eligible to participate in Title IV Financial Aid programs shall not contract more than 25 percent of the instruction of one or more of its programs with an external entity, whether or not that entity is certified to participate in Title IV, HEA programs.

An accredited institution that negotiates a contract for instruction with any external entity must submit an application and a copy of the contract to the Executive Director before entering into such an agreement.

All parties to such contracts must meet the standards, criteria, and conditions adopted by the Council. Any off-campus instruction must maintain documentation that such activities are in compliance.

Each contract must include a conditional statement stipulating that the contract is not binding in the event that any circumstances with the contractor prevent the member school from complying with the standards, criteria, and conditions adopted by the Council.

An educational program to be taught under a contract must have state approval even though it is not intended to be taught at the main or other campuses.

The Executive Director will seek a third-party review for all applications and contracts submitted. (A fee to cover the cost of the third-party review will apply.) The Commission reserves the right to conduct an on-site visit to the institution or other sites that may be involved in the contract prior to granting approval. The Commission will then review the application, the contract, third-party comments, and site visit report (if required) and will make a decision whether or not to approve or deny the submission or to request additional information.

REFERENCE: *Handbook of Accreditation: 2016 Edition, pages 40 and 41*

Complaints

COMPLAINT PROCEDURES OF THE COMMISSION

The procedures to be followed by the Commission on complaints concerning alleged injustices or unethical practices by applicants, candidates, and accredited institutions will depend upon the nature of the charges and the documentation submitted.

A complaint may be defined as any formal notification provided to the Commission alleging violations of the standards, criteria, conditions, policies, and/or procedures of the Commission. A complaint may be brought against an institution by one or more parties, including students, instructors, administrators, state or federal agencies, employers, vendors, another institution, or others. A complaint may also take the form of a lien, lawsuit, disciplinary action, negative action by another accrediting body or a regulatory agency or board, or a decision of a criminal or civil court. Complaints that do not relate to the Commission's standards, criteria, conditions, policies, and/or procedures are referred to the appropriate federal or state agency.

When a complainant is associated with an institution in some capacity and contacts the Commission in person or by telephone, the complainant is asked whether institutional grievance procedures have been utilized. If not, it is recommended to the complainant that he or she do so prior to making a formal complaint to the Commission. The complainant is also told to submit the complaint in writing, to address the complaint specifically to the Commission, and to include any supporting documentation. The complaint must be signed and must provide the name and mailing address of the complainant.

The Commission may review any oral or written complaint that alleges a safety or health problem at a candidate or accredited institution.

A. Written Complaints

The Commission considers and processes all written and signed complaints regarding applicant, candidate, and accredited institutions. All complaints received by the Commission are acknowledged by written reply to the complainant upon receipt. Complainants are requested to furnish additional information that will substantiate the allegations set forth within 14 days of the date of the letter of acknowledgment from the Commission. The acknowledgment letter also informs the complainant (when associated with the institution) that it is assumed he or she has exhausted the grievance procedures of the institution prior to submitting the complaint.

B. Grievance Certification

A Complaint Certification form is sent along with the acknowledgment letter to the complainant. This form is completed and attests either that all grievance procedures have been exhausted, or that grievance procedures have not been followed due to reasons stated on the form. The form is signed, dated, and returned. (See Complaint Certification and sample letters.) Uncertified complaints will not be processed.

C. Institution Notification

After receiving any additional information as requested from the complainant that substantiates the allegations of the complainant, the complaint is sent to the institution requesting that a written reply be furnished to the Commission within 21 calendar days from the date of the letter. The standard form letter informs the institution that the complaint, if true, may be a serious violation of the Commission's standards, criteria, conditions, policies, and/or procedures and requires a reply with documentation that: (a) the complaint has been resolved; (b) the complaint has no merit and documentation is offered in support of this position; or (c) the complaint has merit and documentation is offered to support changes that will eliminate such complaints in the future. The institution is informed that the complaint, together with the institution's response, will be taken to the Commission for review and appropriate action. Documents submitted by an institution in response to a complaint filed with the Council are subject to review only by the Commission and the Council staff.

D. Commission Review

The Commission, or the Commission Executive Committee acting on behalf of the Commission, then determines whether the complaint has merit or not, and considers whether the institutional response is adequate. The Commission or the Commission Executive Committee will then take appropriate action within 21 days which may include one or more of the following:

1. **Resolution of the Complaint:** A letter informs both the complainant and the institution that the Commission believes the matter to be resolved. The letter to the institution may contain a stern warning that a similar complaint in the future will cause the institution's accreditation to be in jeopardy. The resolution of the complaint may be a result of acting upon the merits of the complaint and the institutional response, or upon additional information obtained by staff and/or a special evaluation team.
2. **Deferral of Action for Additional Information:** The Commission or the Commission Executive Committee may request additional information concerning the matter either from the institution, the complainant, or other sources including state, federal, or accreditation agencies.
3. **Deferral of Action for Site Visit:** The Commission or the Commission Executive Committee may request a focused review team to obtain additional facts from the complainant, the institution, and/or other agencies.
4. **Placement of Institution on Conditional Status:** When it appears that serious violations of standards, criteria, conditions, policies, and/or procedures have occurred, the Commission or the Commission Executive Committee may immediately issue a Notification of Apparent Deficiency, place the institution on Probation status, or issue a Show Cause Order, which gives the institution 30 calendar days to respond in writing. The notification sets forth: (1) the particular standard, criterion, condition, policy, and/or procedure apparently violated; (2) the nature of the violation as it relates to the standard, criterion, condition, policy, and/or procedure; and (3) the evidence of the violation. The Commission or the Commission Executive Committee may also place the institution on Warning status. Notices of Probation, Warning, and Show Cause status are sent to all appropriate state, federal, and accrediting agencies with a request for any additional information from them concerning the institution. (This process also informs the agencies of possible violations of federal or state law.)

5. **Removal of Conditional Status:** When the Commission or the Commission Executive Committee receives documentation that the institution has complied with the requirements imposed upon it as a result of the complaint, then the conditional status is removed and letters are issued to appropriate state, federal, and accrediting agencies announcing this action. Depending on the nature of the situation and compliance requirements, the complainant may or may not be informed of this action.
6. **Severance of Its Relationship with the Institution:** For serious unethical conduct, the Commission or Executive Committee may act to sever the Council's relationship with the institution by issuing a letter dropping the institution from accredited or candidate status. A copy of this letter is also sent to appropriate state, federal, and accrediting agencies. If the institution is an applicant for candidacy (having no actual candidate or accredited status with the Commission) and has been found in serious violation of standards, criteria, or conditions, the Commission may sever its relationship by issuing a letter Denying the Application with Cause and copying this letter to the appropriate state, federal, and accrediting agencies.

E. Due Process and Privacy Rights

In all instances, the Commission recognizes the rights of Due Process, the rights of Privacy and Confidentiality, and the rights of Appeal. Complainants and/or institutions may request or be requested to appear before the Commission. Such appearances, however, are for purposes of obtaining information and are not adversarial; and, therefore, they do not bear the weight of law. Whenever there are indications to the contrary, the Council's general counsel advises the Commission as to next steps in dealing with the matter.

F. Third Parties

Although complainants may contact other agencies who in turn also submit copies of the complaint to the Commission, it is the position of the Commission to deal only with the complainant and the institution in resolving the matter. For this reason, third parties are not necessarily informed regarding the action of the Commission unless specifically requested to do so. However, any conditional status imposed upon an institution will result in certain agencies being notified as appropriate.

The Commission will not intervene on behalf of individuals in cases of disciplinary action or dismissal, or act as a court of appeals in such matters as admission, graduation, fees, financial aid, and similar points of issue.

G. Legal Representation

When a complainant or member institution is represented by legal counsel, the attorney must allow the client to submit material on his/her own behalf in writing or the lawyer will deal directly with the Council's general counsel. The Commission staff does not communicate in oral or written form with attorneys on either side of an adversarial proceeding involving parties other than the Commission.

H. Commission Staff Perspective

The Commission's staff does not evaluate the merits of a complaint. What appears to be a frivolous or arbitrary complaint may be so due to the inability of the complainant to convey in words the serious nature of the allegations. Even when the complaint appears to be a hoax or is vindictive in nature, it is sent immediately to the institution for response so that the institution can take whatever action is indicated. Whenever the Commission receives a written communication alleging improprieties of any kind on the part of a candidate or member institution, the Commission believes the school should know about it.

I. Issues of Serious Public Concern

The Commission and staff have a keen responsibility to recognize and act upon emergency complaints. When it appears that a complaint is of such magnitude or is of such a serious nature as to require immediate action, the complaint may be taken directly to the Commission Executive Committee or the Commission via telephone conference call for review and appropriate action. When neither the Commission nor the Commission Executive Committee is in session, the Executive Director may act on behalf of the Commission in response to such an emergency situation. Such matters as front-page news stories involving alleged improprieties, for example, may require an immediate inquiry on the part of the Commission.

J. Complaints Against the Commission

If the Commission receives a formal written complaint from a school regarding a COE Commissioner or staff member, the Commissioner or staff member will be notified and given a copy of the complaint. The Commissioner or staff member will be given an opportunity to respond to the complaint; however, a response is optional. The complaint and any response will be reviewed by the Executive Committee in the absence of the individual against whom the complaint was lodged, to determine what, if any, action is appropriate or required.

K. Timeliness of Complaint Process

The Commission processes all written and signed complaints (that also provide the complainant's name and address) alleging safety or health matters immediately upon receipt. Members of the Commission Executive Committee provide timely review and response and make recommendations for resolving the complaint or continuing the review. The Commission attempts to resolve all complaints within 60 days.

REFERENCE: *Handbook of Accreditation: 2016 Edition, page 41*

COMPLAINT CERTIFICATION
(Please Print or Type)

Name: _____ Date: _____

Address: _____

Telephone (Home) (_____) _____ (Work) (_____) _____

Complaint Against (Name of Institution): _____

Address of Institution: _____

Have you contacted the institution and exhausted all grievance/complaint procedures, including speaking with the director or chief executive officer prior to submitting your complaint to outside agencies such as the Council on Occupational Education?

YES ____ NO ____

If "NO", please provide the reasons why you have not made every effort to resolve this problem with institutional officials prior to requesting outside assistance. (Use the back of this page if necessary.)

Attach any additional supporting documents/evidence to substantiate your claim.

I certify that the information presented above and attached hereto is true, accurate, and complete to the best of my knowledge.

Signature of Complainant

Mail this completed form and all supporting documentation for receipt within 14 days of the date of the enclosed letter of transmittal to the Council on Occupational Education, 7840 Roswell Road, Building 300, Suite 325, Atlanta, GA 30350.

**LETTER SENT TO COMPLAINANT
ACKNOWLEDGING RECEIPT OF COMPLAINT**

(Date)

(Name of Complainant)
(Address)

Dear _____:

This is to acknowledge that the Commission has received your complaint letter dated _____ concerning __(name of institution)___. Your complaint will be reviewed and appropriate action will be taken in accordance with the Commission's standards and policies.

The Commission requests verification that you have completed all steps of the complaint procedure specified by the institution. If you have additional information or documentation pertaining to this complaint, please forward it to me for receipt within 14 days of the date of this letter along with the completed Complaint Certification form that is enclosed.

Thank you for bringing this matter to our attention. You will be informed of the action taken by the Commission regarding your complaint.

Sincerely,

Gary Puckett
Executive Director
Commission of the
 Council on Occupational Education

Enclosure

Requirements Applicable to the Commission

GUIDELINES FOR ACTION ON INSTITUTIONS WITH COHORT DEFAULT RATES THAT MEET TRIGGER LEVELS SPECIFIED BY THE U.S. DEPARTMENT OF EDUCATION

Factors Considered To Establish Priorities

Number of years triggered (one, two, three or more)

Number of students in repayment who have defaulted

Completion, placement, and licensure exam pass rates

Record of actions taken by the Commission regarding the institution, including student complaints and placement on a status

Range of Actions Directed by the Commission

Submission of a written report to the Commission that includes the following:

- copy of the institution's cohort default management plan
- description of actions taken to reduce cohort default rate
- status of any action taken by the U.S. Department of Education
- explanation of student population served and any mitigating circumstances
- evidence of educational program evaluation

Attendance at a Commission workshop on student financial aid management

Focused review visit to evaluate compliance with the standards, criteria, and conditions of the Council

Placement on warning or show-cause

Termination of accreditation

REFERENCE: *Handbook of Accreditation: 2016 Edition, page 44*

REVIEW OF ACCREDITATION STANDARDS

The Commission conducts an ongoing and systematic review of its accreditation standards through feedback sought from its constituents to determine if:

1. The standards used by the Commission are adequate for the evaluation of the quality of the education or training provided by its member institutions; and,
2. The standards are relevant to the educational or training needs of students.

The Commission seeks input from its member institutions as part of the institutional annual reporting process. Commissioners are also petitioned for their input in evaluating the standards through a web survey.

Input is sought from members of the public and potential employers of graduates through a survey available on the Council's web site. Potential employers are also solicited for their input during occupational advisory committee meetings conducted by institutions prior to hosting accreditation visiting teams.

State and federal authorities and other accrediting agencies are contacted annually to encourage their input in the evaluation of the Council's standards. These groups are also directed to use the survey available through the Council's web site.

The data collected from these efforts are reviewed each year by the Council Committee on Accreditation Standards and Conditions.

REFERENCE: *Handbook of Accreditation: 2016 Edition, page 45*

NON-DISCRIMINATORY POLICY OF THE COUNCIL

The Council does not discriminate on the basis of sex, race, color, national origin, age, or disability in any of its programs or activities.

Any individual who believes that he or she has been discriminated against because of his/her sex, race, color, national origin, age, or disability should immediately contact the Executive Director, Dr. Gary Puckett, who is the Council's coordinator for Title IX compliance. Dr. Puckett can be reached at 7840 Roswell Road, Building 300, Suite 325, Atlanta, Georgia 30350, (770) 396-3898, ext. 21.

Complaints alleging discrimination on any of the above bases may also be made to:

The Office for Civil Rights
U.S. Department of Education
Customer Service Team
Hotline # 1-800-421-3481 or (202) 205-5413
Fax # (202) 205-9862
TTY # (877) 521-2172
ocr@ed.gov

REFERENCE: *Handbook of Accreditation: 2016 Edition, page 45*

CONFLICT OF INTEREST POLICY

Purpose

The purpose of the Conflict-of-interest policy is to protect the Council on Occupational Education's interest when it is carrying out its mission of assuring quality and integrity in career and technical education. This policy is intended to supplement but not replace any applicable state laws governing conflicts of interest applicable to the Council on Occupational Education as a non-profit corporation organized under the laws of the State of Georgia.

Policy

No member of the board of commissioners of the Council on Occupational Education, ("COE" or "the Council") or any of its evaluation team members, consultants, appeal board members, or administrative staff shall derive any personal profit or gain, directly or indirectly, by reason of his or her participation with the Council.

Each individual shall disclose to the Council any personal interest which he or she may have in any matter pending before the Council and shall refrain from participation in any decision on such matter. Any member of the Commission, evaluation team, or an appeal board who is an officer, board member, committee member or staff of an institution that is accredited, a candidate for accreditation or seeking accreditation from the Council shall identify his or her affiliation with the institution and shall not participate in any decision affecting that institution by the Council.

Annual Statements

Each member of the Commission or administrative staff with Commission delegated powers shall annually sign a statement which affirms that such person:

- a. has received a copy of the conflict-of-interest policy;
- b. has read and understands the policy; and,
- c. has agreed to comply with the policy.

Statements by Occurrence

Each member of evaluation teams, appeal boards, or consultants with Commission delegated powers shall sign a statement upon the occurrence of the Commission assigning such powers which affirms that such person:

- a. has received a copy of the conflict-of-interest policy;
- b. has read and understands the policy; and,
- c. has agreed to comply with the policy.

Violations of the Conflict-of-Interest Policy

If the Commission has reasonable cause to believe that a Commission, committee, appeal board member, evaluator, or administrative staff member has failed to disclose actual or possible conflicts of interest, it shall inform the individual of the basis for such belief and afford the individual an opportunity to explain the alleged failure to disclose.

If after hearing the response of the individual and undertaking such further investigation as may be warranted under the circumstances, the Commission determines that the individual has in fact failed to disclose an actual or possible conflict of interest, it shall take appropriate action consistent with the by-laws of the Council on Occupational Education.

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Policies and Rules Applicable to Accreditation Standards, Objectives, and Criteria

References for policies and rules stated in this section are given for the specific sections where they appear in the *Handbook of Accreditation*. The subsections that follow are consistent with the order in which the topics appear in the *Handbook*.

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STANDARD SEVEN: FINANCIAL RESOURCES

REFUND POLICY

The Handbook of Accreditation states under Standard Seven - Financial Resources the following:

The institution shall have a fair and equitable refund policy for the refund of tuition, fees, and other institutional charges in the event the institution cancels a class if a student does not enter or does not complete the period of enrollment for which the student has been charged. All of the following are elements of a fair and equitable plan:

- a. The institution's refund policy must be published in the catalog and be uniformly administered.
- b. Refunds, when due, must be made without requiring a request from the student
- c. Refunds, when due, shall be made within 45 days (1) of the last day of attendance if written notification of withdrawal has been provided to the institution by the student, or (2) from the date the institution terminates the student or determines withdrawal by the student.
- d. Retention of tuition and fees collected in advance for a student who does not commence class shall not exceed \$100.
- e. The institution must comply with the refund policies adopted by the Commission unless a different policy is mandated by a non-public institution's licensing agency or a public institution's governing board.

As referenced in item "e" above, the refund policy adopted by the Commission is as stated below.

1. Refunds for Classes Canceled by the Institution

If tuition and fees are collected in advance of the start date of a program and the institution cancels the class, 100% of the tuition and fees collected must be refunded. The refund shall be made within 45 days of the planned start date.

2. Refunds for Students Who Withdraw On or Before the First Day of Class

If tuition and fees are collected in advance of the start date of classes and the student does not begin classes or withdraws on the first day of classes, no more than \$100 of the tuition and fees may be retained by the institution. Appropriate refunds for a student who does not begin classes shall be made within 45 days of the class start date.

3. Refunds for Students Enrolled Prior to Visiting the Institution

Students who have not visited the school facility prior to enrollment will have the opportunity to withdraw without penalty within three days following either attendance at a regularly scheduled orientation or following a tour of the facilities and inspection of the equipment.

4. Refunds for Students Enrolled in Professional Development, Continuing Education, or Limited Contract Instruction

Institutions engaging in programs which are short-term **must** have a written policy or contract statement regarding whether or not fees and instructional charges are refundable.

5. Refunds for Withdrawal After Class Commences

(a) Public Institutions

The refund policy for students attending public institutions shall be consistent with the policy established by the institution's governing board.

(b) Non-Public Institutions

(1) Refund Policy for Programs Obligating Students for Periods of 12 Months or Less

The refund policy for students attending non-public institutions who incur a financial obligation for a period of 12 months or less shall be as follows:

- (i) During the first 10% of the period of financial obligation, the institution shall refund at least 90% of the tuition;
- (ii) After the first 10% of the period of financial obligation and until the end of the first 25% of the period of obligation, the institution shall refund at least 50% of the tuition;
- (iii) After the first 25% of the period of financial obligation and until the end of the first 50% of the period of obligation, the institution shall refund at least 25% of the tuition; and,
- (iv) After the first 50% of the period of financial obligation, the institution may retain all of the tuition.

(2) Refund Policy for Programs Obligating Students for Periods Beyond Twelve Months

Institutions with programs longer than 12 months that financially obligate the student for any period of time beyond 12 months shall release the student of the obligation to pay beyond the 12 months if the student withdraws during the first 12 months. The calculation of the refund for the unused portion of the first 12 months shall be based on section (b)(1) Non-Public Institutions above.

If the student withdraws during any subsequent period following the first 12 months, the student's refund for the unused portion of the tuition applicable to the period of withdrawal shall be based on section (b)(1) Non-Public Institutions above.

Deviations from the requirements of this policy as stated above are permitted if (1) mandated by a non-public institution's licensing agency or a public institution's governing board and (2) accepted by the Commission.

REFERENCE: *Handbook of Accreditation: 2016 Edition, page 67*

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DEFINITIONS

Accreditation—A process by which quality is certified. As applied by the Commission, a self-regulatory process by which the Commission recognizes educational institutions that have been found to meet or exceed stated standards applicable to occupational education institutions and/or programs (quality-assessment).

Administration—The professional staff who provide formal leadership in an institution. The institutional administrative staff includes the chief administrative officer and other personnel who perform the administrative functions defined by institutional policy.

Administrator—A full- or part-time employee of an institution to whom has been given the responsibility of coordinating operational and/or instructional activities of the institution.

Admission—The process through which a student is enrolled in an institution and/or placed into a program.

Adverse Action—An action taken by the Commission or Appeal Board to deny, withdraw, suspend, revoke, or terminate candidacy or accreditation.

Associate Degree—An 'applied' program with a degree credential awarded upon completion that is designed to lead the individual directly to employment in a specific career. Although the objective of this degree is to enhance employment opportunities, some bachelors' degree institutions have developed upper-division programs to recognize this degree for transfer purposes, and this trend is to be encouraged when appropriate.

Audited Financial Statements—Financial statements prepared by an independent certified public accountant in accordance with Generally Accepted Accounting Principals (GAAP). The audit must be performed in accordance with Generally Accepted Government Auditing Standards (GAGAS). The audited financial statements must include, as a minimum, the following: (1) accountant's report; (2) balance sheet; (3) income statement; (4) statement of cash flow; and (5) appropriate footnotes to the financial statements and other relevant disclosures. (Procedural Note: Financial statements submitted by candidate and accredited non-public institutions must be accompanied by completed COE financial forms and must be received in the COE office no later than six months following the date of the end of the institution's fiscal year.)

Benchmark—A standard of excellence or achievement against which similar things must be measured or judged. (Benchmarks for minimally-acceptable percentages of completion, placement, and licensure exam pass rates can be found within the Council's annual report software and on the Council's web site – www.council.org.)

Budget—A financial plan that contains sufficient major categories of anticipated expenditures and expenses for a specific fiscal period based on a projected amount of funds and revenues.

Candidacy/Candidate for Accreditation [Pre-accreditation]—A status granted to an institution that has demonstrated compliance with specified eligibility requirements which define the universe of entities that may seek accreditation by the Commission.

Career Development—Professional development and skill enhancements necessary for individual growth and lifelong learning.

Chief Administrative Officer—The administrative head of an institution to whom has been delegated major responsibility for the direction, operation, and coordination of the institution's programs and activities. The chief administrative officer must be a full-time employee of the institution and must maintain his/her office on-site at the main campus. This is the person who will be the Commission's point of contact for all campuses of the institution. The administrative head in a military institution is a senior military officer or civilian employee.

Clinical Instruction—Supervised instruction involving or concerned with the direct observation and treatment of patients.

Clock Hour—A period of 60 minutes with a minimum of 50 minutes of instruction.

Co-Location—an arrangement between two legally separate educational institutions in which administration, faculty, staff, and/or facilities are shared. (This arrangement excludes the contracts between separate institutions that result in instructional service centers or other Commission-approved partnerships.)

Commission—The body of 19 elected members who serve as the governing board of the Council and its accreditation decision-making board.

Competencies—The specialized knowledge, skills, and attitudes required for successful performance in a specific occupation.

Competency Test—A group of questions and/or tasks to which a student responds to produce a quantitative representation of the student's knowledge, skill, and/or performance in a specific occupational area.

Completer—A student who has demonstrated the competencies required for a program and has been awarded the appropriate credential (graduate completer) or has acquired sufficient competencies through a program to become employed in the field of education pursued or a related field as evidenced by such employment (non-graduate completer).

Condition—A process, status, or situation adopted by the Council with which an institution must comply in order to become and maintain status as a candidate for accreditation or an accredited institution.

Constituency—The persons and, if applicable, entities that they represent who are to be served by an institution through one or more of its educational programs.

Contingent Liability—A potential liability that may exist in the future depending on the outcome of a past event (i.e., adverse tax court decisions, lawsuits, letter of credit required by the U.S. Department of Education, etc.). In audited financial statements, footnote disclosure is required of the circumstances for potential loss.

Continuing Occupational Education—Educational activities or experiences designed to assist in the development of knowledge and skills with the goal of maintaining one's current professional occupation (as opposed to advancing one's career). Participants in continuing education are assumed to have previously attained a basic level of education, training, or experience in the occupational area in which they are enrolling. These activities are not included in the institutional self-study, FTE calculation, or student achievement data collection, and are not required to be included on the COE approved program list. (See definition for Job Upgrade Training.)

Contractor (Vendor)—A company or individual who provides goods and/or services to an institution for an agreed upon price.

Correspondence Education – Instruction delivered via e-mail or traditional mail service and that employs print-based media which may or may not be supplemented with video tape, CDROM, audio tape instruction/demonstrations, as well as online learning resources. Correspondence education requires minimal interaction between instructor and student. (The Council does not accredit correspondence education programs.)

Council—The legal entity incorporated in the State of Georgia whose membership is all institutions accredited by the Commission.

Course—Specific subject matter comprising part of a program for which instruction is offered within a specified time period.

Credential—A diploma, certificate, degree, or other official acknowledgment by an institution that a student has completed a program.

Credit Hour (Federal Definition)—Except as provided in 34 CFT 668.8(k) and (l), a credit hour is an amount of work represented in intended learning outcomes and verified by evidence of student achievement that is an institutionally established equivalency that reasonably approximates not less than: (1) One hour of classroom or direct faculty instruction and a minimum of two hours of out of class student work each week for approximately fifteen weeks for one semester or trimester hour of credit, or ten to twelve weeks for one quarter hour of credit, or the equivalent amount of work over a different amount of time; or, (2) At least an equivalent amount of work as required in paragraph (1) of this definition for other academic activities as established by the institution including laboratory work, internships, practica, studio work, and other academic work leading to the award of credit hours.

Criterion—A characteristic of an institution that must be possessed or demonstrated as evidence of compliance with an accreditation standard.

Default Management Plan—A written plan to address the institution's management of default rates pertaining to Title IV funds. The plan must include appropriate procedures for:

1. Entrance interviews with all borrowers.
2. Distribution of appropriate written information which addresses provisions of the student loan program.
3. Appropriate counseling on the part of the institution to provide guidance in debt management.
4. Appropriate notification to lenders and guarantee agency regarding a student's change in status.
5. Appropriate exit interview process with students withdrawing or graduating from the institution.
6. A written procedure to communicate with the borrower during a grace period.
7. A systematic annual evaluation of its default management plan.

Distance Education [Delivery Method] — Education that uses one or more of the technologies to deliver instruction to students who are separated from the instructor; and support regular and substantive instruction between students and the instructor, synchronously or asynchronously. Technologies used may include the internet, print-based media, e-mail, one-way and two-way transmissions through open broadcast, closed circuit, cable, microwave, broadband lines, fiber optics, satellite, or wireless communications devices; audio conferencing; or video cassettes, DVD's, and CD-ROMs, if the cassettes, DVD's, or CD-ROMs are used in a course in conjunction with any of the technologies listed.

Distance Education Program—a program that makes available 50% or more of its required instructional hours via distance education.

Distance Education Student—a student who completes 50% or more of his/her required instructional hours in a program via distance education.

Educational Quality—Determined on the basis of (1) the appropriateness of institutional/program objectives and (2) the effectiveness with which the institution/program is utilizing its resources to achieve these objectives.

Eligibility Requirements—Requirements that define the kind of institution or program that an accrediting agency considers a part of its universe and thus within the scope of accrediting activities for which the agency assumes responsibility.

Emergency Evacuation—An emergency evacuation can include exiting the building in case of fire or moving to a safe place inside the facility in case of natural disasters.

Employee—An individual hired by an institution and paid compensation in the form of an hourly wage or annual salary. Employees of an institution are often eligible for additional benefits in the form of retirement, paid vacation and other leave days, various types of insurances, etc. Employment taxes for these persons are paid by the hiring institution. Equipment used for the performance of the employee's duties is provided by the hiring institution.

Enrollee—A person who is admitted to the institution and attends classes in pursuit of completing a program for a minimum time period as specified by institutional policy. (For purposes of measuring outcomes, an institution does not have to report a student as an enrollee if the institution refunds 100% of any tuition and fees that the student may have paid.)

Equipment Inventory—A detailed list of equipment including location, number of items, date of purchase, and purchase price and/or current value of each item. The list should include both instructional and non-instructional equipment.

External Budgeting—A budgeting process that occurs beyond the immediate control of the individual institution and that generally addresses the overall requirements of a multi-institutional system.

Faculty—Full- or part-time personnel of an institution who are responsible for providing instruction to students.

Final Approval—The second of two required approvals granted by the Commission for certain substantive changes upon the satisfactory completion of hosting a Council site visit (physical or virtual, in the case of distance education applications) and review by the Commission of all documentation related to the substantive change (the application, the site visit report, and the institution's response to the site visit report – if applicable).

Follow-Up—The act of making formal contact to obtain specified factual and/or perceptual information from a particular person or group of persons.

Generally Accepted Accounting Principals (GAAP)—Requirements established by the American Institute of Certified Public Accountants for use by auditors to prepare audited financial statements.

Generally Accepted Government Auditing Standards (GAGAS)—Requirements established by the federal government to be used by auditors and audit organizations when performing audits of government organizations, programs, activities, and functions and audits of government funds received by for-profit entities, non-profit organizations, and other non-government organizations.

Goals of the COE Accreditation Process—The significant values and major purposes to whose realization the efforts of individuals and groups are directed.

Good Cause—The Commission may grant an extension of time for compliance with any of the conditions, standards, criteria, or procedures with 'good cause'. Good cause may be demonstrated through submission of a clear and detailed explanation of extenuating circumstances that have prevented the institution from demonstrating compliance within the timeframes specified by the Commission. Circumstances described may include, but are not limited to, economic conditions of the community served by the institution, personnel changes that have taken place within the institution, and natural disasters that have prevented timely compliance. The Commission will determine whether or not institutions have demonstrated good cause on a case-by-case basis. The Commission will take into consideration, not only the extenuating circumstances described by the institution, but the institution's history of compliance with conditions, standards, criteria, and procedures of the Commission, as well as the institution's standing with federal, state, and recognized accrediting agencies.

Governing Body or Board—An appointed or elected group of individuals who are responsible for establishing policies of the institution in compliance with applicable regulatory statutes.

Graduate—A student who has demonstrated the competencies required for a program and has been awarded the appropriate credential by the institution.

Guidelines—Less prescriptive suggestions for operating or developing something.

Hybrid Program—a program that makes available 49% or less of its required instructional hours via distance education.

Independent Certified Public Accountant—A person who fulfills the following requirements: 1) has been certified by a state examining board as having fulfilled the requirements of state law pertaining to public accountants as evidence by current credentials which attest to their certification; AND, 2) has no business or family relationship with a COE candidate or accredited institution, its board members, or its owners.

Initial Approval—The first of two required approvals granted by the Commission for certain substantive changes upon the satisfactory completion and review of the information provided in a substantive change application. After initial approval is granted, Commission staff schedule physical or virtual site visits within 180 days that are required before the second required approval of the change – Final Approval – is granted. Upon the granting of initial approval, institutions may begin full implementation of the change applied for and may be eligible for approval for student financial aid funding as applicable to the change.

Institution—A school, center, unit, or other provider of occupational education.

Institutional Advisory Committee—A group of at least three persons, a majority being external to the institution, who are knowledgeable of occupational education and employment needs of the community. Through regularly scheduled and documented meetings, the committee provides consultative assistance to the administration of the institution to ensure that the institution continually strives to meet the occupational education needs of the community.

Instruction—Planned activities directed by an instructor for the purpose of enabling students to acquire specific knowledge, skills, and/or attitudes. Instruction may be provided through lectures, laboratory or clinical exercises, distance education, or planned work-based activities.

Instructional Media—Any print or non-print learning resources (e.g., books, manuals, periodicals, computer software, films, videotapes, audio tapes, slides, and others) and the equipment and services necessary to use them.

Instructional Supplies—Items needed for instruction.

Instructional Support Staff—Full- or part-time personnel who are responsible for those tasks which directly support the faculty.

Integrity—Wholeness or consistency between or among principles, intentions, and actions, and thus uprightness of character.

Internal Budgeting—A budgeting process that occurs primarily at the level of the individual institution and that addresses both instructional and non-instructional needs and daily operational requirements of the institution.

Job Upgrade Training— Educational activities or experiences that are designed to enhance existing knowledge and skills and that are offered with the goal of providing persons in specific occupations with the credentials, knowledge, and skills needed for career advancement (as opposed to maintaining one's current professional occupation position). These activities are considered to be occupational programs and are included in the institutional self-study, FTE calculation, and student achievement data collection (completion data only), and must be included on the COE approved program list. (See definition for continuing occupational education.)

Laboratory Instruction—An instructional setting in which students apply theories and principles learned during lectures in order to acquire the proficiency and dexterity that is required in the occupation for which the student is being prepared.

Lecture—Instruction by a qualified faculty member or other resource which imparts to students the concepts, principles, and theories of an academic or technical subject.

Legal Authority—The power derived by an individual or group to perform specific functions based on applicable local, state, and/or federal statutory regulations.

Legal Responsibility—The obligation and/or liability placed on an individual or group by applicable local, state, and/or federal statutory regulations.

Merger—two or more accredited main campuses that merge into one campus; or, an accredited institution becoming a branch of another accredited institution.

Mission of the Institution—The end to be attained by an institution through the programs and services provided for its students. The mission of federal institutions shall be to instruct students to such competency levels that they are qualified to perform federal jobs.

Non-Graduate Completer—A student who left the institution without a credential, but has acquired sufficient competencies through a program to become employed in the field of education pursued or a related field as evidenced by such employment. (See also: Graduate and Completer)

Non-Public Institution—An institution that is created, operated, and controlled by a non-governmental entity; such as, a business corporation, a foundation, a religious organization, or a chartered association.

Objectives of COE Accreditation—Explication in more specific terms of ideas and activities inherent in the aspects of the institution evaluated by the COE accreditation process, but not necessarily obvious or explicit in the goals of COE accreditation.

Objectives of an Educational Program—A statement that specifies the knowledge, skills, and/or attitudes to be acquired by students through planned instructional activities.

Objectives of a Strategic Plan—Objectives are specific in nature and consist of the following elements:

1. What will be accomplished
2. When it will be accomplished
3. Who is responsible for accomplishing it
4. How accomplishment will be measured

Occupational Advisory Committee—Occupational advisory committees, which are composed of at least three members external to the institution, must be appointed for each program taught by the institution. Their primary purpose is to ensure that desirable, relevant, and current practices of each occupation are being taught. An occupational advisory committee may also perform the functions of the institutional advisory committee if only one occupational advisory committee is required for the institution.

Occupational Area—A general term used to group programs of study that educate students in a variety of specific concentrations that are related to that term.

Occupational Education Institution—An education institution that has as its mission the preparation of individuals for employment and/or skill enhancement. (The main campus or parent institution has a chief administrative officer to whom each branch, extension, or other type of separate site is subordinate and accountable. The institution recognizes individuals who acquire targeted knowledge, skills, attitudes, and other competencies by awarding appropriate credentials such as degrees, diplomas, certificates, and/or other acceptable credentials.)

Occupational Education Program—An education program designed to provide a sequence of educational and skill development experiences that lead to workplace competencies. (Such programs offered by Commission accredited institutions are designed to prepare individuals for job entry and/or career advancement.)

Operational Procedure—Specific provisions that have been established by the institution to implement policies adopted by the governing board.

Placement—A completer of a program who (1) is employed in the field of education pursued or in a related field, or (2) has received the appropriate credential and entered the military or continued his/her education. Valid employment in the field or a related field includes placement in a permanent full- or part-time position with an employer or employment agency, or self-employment in the field of education or a related field.

Policies—A set of written statements providing the bounds within which all procedures, programs, goals, objectives, and activities of the institution are carried out. These are adopted by the governing board of an institution (or in military institutions, by higher military command headquarters) to ensure operations are in compliance with statutory regulations as well as being consistent with the stated mission.

Position—An attitude or stance of an entity—the way a body (organization) looks at an issue or takes a stand on such. A mental or emotional stance adopted with respect to something.

Pre-accreditation [Candidacy/Candidate for Accreditation]—A status granted to an institution that has demonstrated compliance with specified eligibility requirements which define the universe of entities that may seek accreditation by the Commission.

Procedure—A formal or set order of operating or doing something—a method of conducting affairs.

Process—A series of progressive and independent steps by which an end is attained.

Professional Growth—Planned activities to increase the knowledge, skills, and/or abilities of professional personnel in areas related directly to job responsibilities.

Pro Forma—A financial statement that is calculated using an accountant's discretion. It does not follow GAAP or GAGAS. Rather, calculations are computed according to the estimated relevance of certain events/conditions experienced by the company. Items that are normally included/excluded from an audited financial statement using GAAP may be represented differently in a pro forma statement, depending on what the accountant feels accurately represents the company's true performance. However, the Council requires that each pro forma statement submitted must include a balance sheet, an income statement, a cash flow statement, and notes and disclosures.

Program—A combination of courses and related activities (e.g. laboratory activities and/or work-based activities) that lead to a credential and are offered by an institution to develop competencies required for a specific occupation.

Public Institution—An institution that is created, operated, and controlled by a local, state, or federal governmental entity.

Publication (e.g. catalogs/brochures/pamphlets/web sites)—A catalog and/or other official publications, which are published in hard copy or provided online, to provide the information specified below that must be readily available to students, prospective students, and other members of the interested public.

- a. The publication(s) must contain and accurately depict the following:
 1. Institutional mission
 2. Admission requirements and procedures
 3. Policy on the transfer of students between programs within the institution
 4. Policy on the transfer of students from other institutions
 5. Policy on the transfer of credits that includes a statement of the criteria established by the institution regarding the transfer of credit earned at another institution
 6. Basic information on programs and courses, with any required sequences and frequency of course offerings explicitly stated
 7. Program completion requirements, including length of time required to obtain certification of completion
 8. Faculty (full-time and part-time listed separately) with degrees held and the conferring institution
 9. Description of institutional facilities readily available for educational use
 10. Rules and regulations for conduct
 11. Tuition, fees, and other program costs
 12. Opportunities and requirements for financial aid
 13. Avocational programs/courses that are neither accredited by the Council, nor qualify students to receive Title IV financial aid (such as stand-alone ESL programs)
 14. Policies, procedures, and time frame for refunding fees and charges to students who withdraw from enrollment
 15. National and/or state legal requirements for eligibility for licensure or entry into an occupation or profession for which education and training are offered
 16. Any unique requirements for career paths or for employment and advancement opportunities in the profession or occupation described
 17. Grading system
 18. Academic/school calendar
 19. Street address and telephone number of each campus of the institution (main campus and each additional permanent site)
 20. Institution's student grievance procedure which includes the Commission's mailing address, telephone number, and web site address
- b. Other publications that make any reference to the institution's status (candidacy or accredited) with the Commission must be accurate and must include the name, address, telephone number, and web site address of the Commission. (In lieu of reference to the Commission, the institution may use the following statement: "For information about national and program accreditation, contact the institution.")

Real, Threatened, or Impending Danger—Any situation which could cause injury to persons on the institution's campus, including but not limited to fires, tornadoes, floods, hurricanes, earthquakes, bomb threats, or violent acts by an individual.

Registrant—A person who registers for instruction with intent to attend.

Related Field (Placement)—Placement of graduate and non-graduate completers in a broader field of work that uses the knowledge and skills gained in the program of study regardless of whether the work title specifically references the program of study. Graduate completers who secure employment in a field that does not require the knowledge and skills gained in the program of study for securing that employment must be classified as placed in an ‘unrelated’ field. (Non-graduate completers, by definition, must secure employment in the field of study or a related field, employment that requires knowledge and skills gained in the program, or must be classified as withdrawals from the program of study.)

Restated (Revised) Audit—A financial statement that has been re-issued by an independent certified public accountant in order to correct data and/or disclosures from the first statement issued that were not accurately represented or to include data and/or disclosures that did not appear in the first statement. Restated audits submitted to the Commission must be clearly labeled as being restated, must provide a detailed list of data and/or disclosures that have been corrected and/or added since the last statement was submitted to the Commission, and must be prepared according to the guidelines of the American Institute of Certified Public Accountants. Restated audits must continue to meet the Commission requirements for audited financial statements found in Standard 7 – Financial Resources.

Scope (change of)—Any instance in which an institution departs significantly from its mission in regard to the occupational areas for which it offers preparation or the credentials it offers for successful completion of its programs (certificates, diplomas, associate degrees).

Self-Paced Instruction – An approach to instructional delivery where the student sets the pace of learning under the guidance and objectives set by an instructor. Criteria for admissions/recruiting, program design, learning objectives, and instruction provided in any self-paced program must be consistent for every student enrolled (see criteria of Standard Two – Educational Programs). In a self-paced program, it is a requirement that the student be given a maximum time parameter for completion of requirements for a specific course, series of courses, and/or the entire program, as established by the institution. Qualified faculty must be present as facilitators/resources for students as they proceed through mastering the various subject matters in courses required for program completion (see criteria of Standard Eight – Human Resources). Additionally, learning resources and student services and activities must be available to self-paced students as detailed in Standards Five and Ten. The length of self-paced programs as listed by the Commission must be shown in terms of average length of time expected for completion of program requirements, unless a state or federal authorizing agency mandates otherwise. (The Commission does not use the terms ‘self-paced instruction’ and ‘open-entry/open-exit scheduling’ interchangeably.)

Service Area—Service area is defined as the contiguous geographical area surrounding the institution from which the institution expects to attract students and serve employers.

Staff—The administrative, supervisory, faculty, and non-instructional personnel employed by an institution.

Standard—Generalizable conditions determined to be essential for objectives to be achieved.

Strategic Planning—A formalized, systematic process that the institution uses to anticipate and respond to major decisions facing it in the future.

Technical Infrastructure—The framework of an institution’s electronic student, financial, and IT information system inclusive of hardware and software that supports students, faculty, and staff services that guide institutional operations including the delivery of distance education as approved by the Council.

Third-Party Audit Certification—A certification process by which a Commission-selected independent certified public accountant thoroughly reviews all re-stated audited financial statements and other questionable statements submitted to the Commission for clarity, accuracy, and compliance with all Federal and Commission requirements governing the formal reporting of financial data.

Traditional Program—a program that requires all instructional hours to be completed on campus.

Vision of the Institution—A values-based description of a desired future for the institution that clarifies the institution's image and how it should conduct itself as it fulfills its mission.

Vocational English-As-A-Second-Language Program—see current edition of the *Policies and Rules of the Commission*.

Withdrawal—A student who enrolled in an institution but withdrew before acquiring sufficient competencies for employment and before earning a credential in the field of education pursued or a related field.

Work-Based Activities—Structured learning activities conducted in supervised work settings external to the institution or in a setting that involves the public (for example: clients who are served by the institution in cosmetology clinical or automotive technology settings) that are components of educational programs (e.g., externships, internships, clinical experiences, industrial cooperative education, and similar activities). These activities must be planned with at least two objectives:

- 1) To provide students with the opportunity to develop and apply a 'real-world' work experience using the knowledge and skills they attained in their program of study; and,
- 2) To provide the institution with objective input from potential employers or customers of program graduates.



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