



INTERIM REPORTS

HLC relies on frequent contact with affiliated institutions to ensure quality higher education. Between comprehensive evaluations, institutions maintain an ongoing accreditation status by notifying HLC of substantive change, filing required reports, and hosting any necessary visits.

HLC may require interim reports in circumstances where HLC has concluded that it should review the institution's progress in addressing an issue at the institution, the resolution of which is relevant to the institution's future compliance with, or improvement regarding, the Criteria for Accreditation.

POLICY

ROUTINE MONITORING AND DATA COLLECTION

NUMBER: INST.F.10.010

Monitoring on Pathways. An institution on the Standard or Open Pathway may be required to file one or more interim reports. An institution on the Standard Pathway may be required to host one or more focused visits. Such monitoring shall be appropriate in circumstances where the team has concluded that the Commission should review the institution's progress in addressing a serious issue at the institution, the resolution of which is relevant to the institution's future compliance with, or improvement regarding, the Criteria for Accreditation. Commission staff may seek external assistance from peer reviewers or individuals with appropriate expertise who do not participate as peer reviewers in the evaluation process related to monitoring but provide particularized advice and assistance where appropriate to Commission staff or evaluation team members.

Other Monitoring. An institution, regardless of its pathway, is always subject to monitoring in the form

of interim reports or focused evaluations related to review by the Commission of the following: financial and non-financial indicators; a change of control, structure or organization transaction; substantive change; complaints; conformity with Assumed Practices; or other Commission investigation or review.

Process for Requiring Monitoring. An evaluation team or staff may recommend that an institution be required to file an interim report or host a focused on-site evaluation on one or more topics. An appropriate decision-making body, or Commission staff where allowed by Commission policy, shall determine whether the monitoring is appropriate for the institution, and, if so, shall act to approve such monitoring.

For an institution that is being considered for initial accreditation, such monitoring shall be appropriate in conjunction with the grant of initial accreditation only when the monitoring is with regard to a discrete issue and does not call into the question the institution's compliance with the Criteria for Accreditation, in which case the institution will not be granted initial accreditation.

Interim Reports. An institution shall submit a required interim report according to the due date established in the action calling for the interim report. Staff will review and prepare a written analysis of all reports and may act on behalf of the Commission to accept the report or require additional reports on the same or related topic or may recommend to the Commission’s decision-making bodies that further monitoring, including new interim reports or focused visits, as appropriate to the institution’s Pathway assignment, be required on the same topics identified in the action or on other topics.



HLC’s complete policies are available at hlcommission.org.

INSTRUCTIONS FOR INSTITUTIONS

Institutions are notified of a required interim report either through staff action or an Action Letter. The HLC letter will identify the due date, the related Core Components and the areas of focus. **Note:** Institutions should also refer to the team report that originally recommended the required interim report for more direction in addressing the specific Core Components and areas of focus.

WRITING THE INTERIM REPORT

Interim reports should contain no more than a seven-page narrative plus appendices for each area of focus addressed. Institutions should include the following information in an interim report.

1. The first page of the report should clearly state the institution name, CEO and date submitted.
Institution: Neverland University
Chief Executive Officer: Samuel Shady
Date Submitted: November 1, 2016
2. The first page of the report should clearly state the following information as stated in the HLC letter.
Action: Identify the report topics from the HLC letter.
Core Components: Identify the specific Core Components (or Assumed Practices or Federal

Compliance issues) that represent the focus of the interim report.

Areas of Focus: Describe the specific concerns or weaknesses noted in the letter.

3. While each report is unique given the varying nature of the areas of focus, the most effective interim reports are concisely written, jargon-free and present clearly the following information:
 - Timelines critical to understanding the institution’s efforts.
 - A narrative that provides an overview of the issues and references to supporting documentation.
 - Consistent use of HLC and institution-specific terminology.
 - Supporting documentation that is relevant and thorough.

When preparing the report, please carefully consider whether documents containing personally identifiable information (PII) must be included. If the documents must be included for evaluative purposes, please redact the PII where possible. If redaction of the PII will interfere with the evaluative value of the document, please clearly identify the document as containing PII (for example, through a cover page or prominent notation on the document). Institutions are not expected to redact or identify information or documents where the only PII included is employee or Board member names and work contact information.

PII is any information about an individual that allows the individual to be specifically identified. This includes, but is not limited to: name, address, telephone number, birthday, email, social security number, bank information, etc. A document does not include PII if personal information is de-identified (for example, student financial receivables without student names or bank routing information) or is provided in the aggregate (for example, data on faculty qualifications). See [HLC’s PII Guidelines](#) for more information.

SUBMITTING REQUIRED REPORTS

All materials should be submitted as a single PDF file at hlcommission.org/upload on or before the due date. Select “Interim Reports” from the list of submission options to ensure the institution’s materials are sent to the correct HLC staff member.

EMBEDDED MONITORING

HLC may embed monitoring in a comprehensive evaluation or a focused visit. In such cases, the issues subject to embedded monitoring are to be addressed by the institution in the sections on the applicable Core Components in its Assurance Argument or focused visit report. The peer review team is to ascertain whether the institution has satisfactorily addressed the monitoring issue(s) and will document its findings in the conclusion section of the team report for the review.

REVIEW PROCESS

The staff analysis (or peer review team in the case of embedded monitoring) ascertains whether the institution has satisfactorily addressed the monitoring issue(s) and will document its findings in the conclusion section of the evaluation report. Staff analysis resulting in a letter of receipt is considered official HLC correspondence and a successful completion of the interim report process.

If the analysis ascertains that the institution has **not** satisfactorily addressed the monitoring issue, additional monitoring will be required.

RECORDS

The institution's interim report, HLC analysis report and the HLC letter stating receipt or recommendation for additional monitoring will become a part of HLC's official file. HLC's analysis report and the HLC letter of receipt is shared with the next peer review team conducting an evaluation.

FEES

Fees for interim reports are outlined in HLC's Dues and Fees Schedule at hlcommission.org/dues.

QUESTIONS?

Contact the institution's HLC staff liaison.