

# Federal Compliance Filing by Institutions

Effective September 1, 2020–August 31, 2022

Institutions should answer the questions below. The [*Federal Compliance Overview*](https://download.hlcommission.org/FedCompOverview_2020_PRC.pdf) provides information about the applicable HLC policies and provides an explanation of each requirement. Please review the aforementioned Overview in its entirety prior to completing this Filing.

Note that some federal requirements are related to and accounted for in the Criteria for Accreditation or Assumed Practices. Those related Criteria and Assumed Practices have been identified for cross-referencing purposes. Cross-references are also provided to the Code of Federal Regulations. Because HLC may, in some cases, require more of its institutions than the federal regulations, it is important that institutions write to HLC’s requirements to ensure their compliance not only with the federal regulations but also with HLC’s expectations. Lastly, although cross-references to the Code of Federal Regulations are provided here, an institution is always responsible to ensure that it is familiar with the full and current text as well as the significance of those regulations, and that it is in compliance at all times with such regulations, as they may from time to time be updated.

### Submission Instructions

This form and, if applicable, Appendix A should be uploaded to the Assurance System no later than the institution’s lock date, unless otherwise noted. Instructions for uploading the documents are provided in the Assurance System. The necessary supporting documentation should be directly responsive to specific documentation requested. While there is no minimum expectation with respect to length, the completed Federal Compliance filing, including Appendix A (if applicable), should not exceed 250 pages.

Institution name:

## 1. Assignment of Credits, Program Length and Tuition

Provide web addresses to the following:

* Policy (or set of policies) and procedures for assignment of Credit Hour for all **types** of courses, disciplines, programs, credential levels, formats, regardless of modality.
* Course or program credit assignment procedures. (Note: The Federal Compliance reviewer will contact the institution’s Accreditation Liaison Officer after the Federal Compliance materials are received to request a sample of course and program materials. The purpose of the representative sample of materials is to enable the Federal Compliance reviewer to make a preliminary determination as to whether an institution ensures it is adhering to its credit hour policy.

Provide the web address to relevant policy/policies:

Link:

Provide the web address to relevant procedure(s):

Link:

Describe the process the institution utilizes to verify length of academic period and compliance with credit hour requirements through course scheduling.

For more information see Federal Requirements 34 CFR §§602.16(a)(1)(viii), 600.2, and 668.8(k) and (l).

*Related HLC Requirements: Core Component 3.A. and Assumed Practice B.1.*

## 2. Institutional Records of Student Complaints

Provide the web address to the institution’s complaint policy.

Link:

Provide the web address to the institution’s complaint procedure.

Link:

For more information see Federal Requirement 34 CFR §§602.16(a)(1)(ix).

*Related HLC Requirements: Core Component 2.A and Assumed Practice A.3, A.4.*

## 3. Publication of Transfer Policies

Provide the web address to the institution’s transfer policies.

Link:

Provide the web address where the public can access a list of institutions with which the institution has established articulation agreements. Note that you do not need to provide the full articulation agreements themselves, only the list of agreements that you make public. This list should include the name and location of the agreement partner, the extent to which the institution accepts credit for courses offered by the partner or offers courses for which credits are accepted by the partner, and any credit limitations.

Link:

Provide the web address where current and prospective student can ascertain the institution’s transfer requirements in addition to what will and will not transfer.

Link:

For more information see Federal Requirements 34 CFR §§668.5, 668.8, 668.43(a)(11) and 668.43(a)(12).

*Related HLC Requirements: Core Component 2.A and Assumed Practice A.5.D.*

## 4. Practices for Verification of Student Identity

Does the institution have students enrolled in distance or correspondence courses, as defined in federal definitions?

[ ]  Yes

[ ]  No (If no, please move on to the next section.)

How does the institution verify the identity of students enrolled in these courses?

How does the method of verification make reasonable efforts to protect student privacy?

Are there any additional costs (e.g., fees associated with test proctoring) charged directly to the student because of this method?

[ ]  Yes

[ ]  No

If yes, how are the additional costs disclosed to students prior to enrollment in a distance or correspondence course?

Provide the web address where the public can access information regarding the additional costs.

Link:

For more information see Federal Requirement 34 CFR §602.17(g).

*Related HLC Requirement: Core Component 2.A.*

## 5. Publication of Student Outcome Data

The institution must disclose student outcome data in a manner that is easily accessible to the public. These data should be available on the institution's website and should be clearly labeled -- for instance, linked to the institution's home page, included within the top three levels of the website or easily found through a search of related terms on the website. Any technical terms in the data should be defined, and any necessary information on the method used to compile the data should be included. Data may be provided at the institutional or departmental level or both, but the institution must disclose student outcome data that address the broad variety of its programs. Additionally, if an institution uses student placement rates in any marketing or recruitment content, it must also disclose these data.

Are student outcome data published on the institution’s website following the specifications above?

[ ]  Yes

[ ]  No

Provide a link to the webpage(s) that contains the student outcome data.

Link(s):

For more information see Federal Requirement 34 CFR §602.16(a)(1)(i)and 34 CFR 668.14(b)(10).

*Related HLC Requirement: Assumed Practice A.6.**and HLC Policy FDCR.A.10.070*

## 6. Standing With State and Other Accrediting Agencies

List any relationships the institution has with any specialized, professional accreditor (e.g. Accreditation Commission for Education in Nursing; Council for the Accreditation of Educator Preparation) or institutional accreditor (e.g. Distance Education Accrediting Commission) or with any governing or coordinating bodies in states (e.g. Illinois Board of Higher Education; Arizona State Board for Private Postsecondary Education) in which the institution has a presence.

Note whether the institution or any of its programs is on a sanction, is provisionally approved or has lost status with any state agency or accrediting body.

Provide the web address(es) where students and the public can find information about the institution’s standing with state agencies and accrediting bodies.

Link:

For more information see Federal Requirements 34 CFR §§602.28, 668.41 and 668.43.

*Related HLC Requirements: HLC Policy FDCR.A.10.090, Core Component 2.B; Assumed Practices A.7, C.4.*

## Additional Documents

Please attach the following documents as applicable:

Appendix A With respect to an institution’s ongoing responsibilities under federal regulations, provide any action letters issued by the U.S. Department of Education that articulate a rationale for any negative actions (including limitation, suspension or termination actions by the Department; letter of credit requirements, fines or heightened cash monitoring imposed by the Department; or other negative findings on the basis of any OMB Circular A-133 [Single Audit] submitted by the institution) and any reports issued by the institution, if applicable, demonstrating the institution’s improvement efforts in response to such communications.