

Federal Compliance Filing by Institutions

Effective September 1, 2023–August 31, 2024

Institutions should answer the questions below and provide supporting documentation where applicable. The [*Federal Compliance Overview*](https://download.hlcommission.org/FedCompOverview_2022_PRC.pdf) provides information about the applicable HLC policies and provides an explanation of each requirement. Please review the Overview in its entirety prior to completing this Filing.

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 300 pages.

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 in compliance at all times with such regulations, as they may from time to time be updated.

Submission Instructions

**Comprehensive Evaluations**
Upload this form, any required attachments and, if applicable, Appendix A 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.

**Other HLC Processes**Submit this form, any required attachments and, if applicable, Appendix A at [hlcommission.org/upload](https://www.hlcommission.org/upload). Select the appropriate submission option from the list provided to ensure the documents are sent to the correct HLC staff member.

Institution name:

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

Provide web addresses to the following:

* Policy(ies) 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 (ALO) 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(ies):

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 Regulations 34 CFR §§602.16(a)(1)(viii), 600.2, and 668.8(k) and (l).

*Related HLC Requirements: Assignment of Credits, Program Length and Tuition (FDCR.A.10.020), Criteria for Accreditation Core Component 3.A. (CRRT.B.10.010), and Assumed Practice B.1. (CRRT.B.10.020)*

## 2. Institutional Mechanisms for Handling 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: Institutional Records of Student Complaints (FDCR.A.10.030), Criteria for Accreditation Core Component 2.A (CRRT.B.10.010) and Assumed Practices A.3, A.4. (CRRT.B.10.020)*

## 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 all institutions with which the institution has established articulation agreements. Note that there is not a need to provide the full articulation agreements themselves, only the list of agreements that the institution makes 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 Regulations 34 CFR §§668.5, 668.8, 668.43(a)(11) and 668.43(a)(12).

*Related HLC Requirements: Publication of Transfer Policies (FDCR.A.10.040), Criteria for Accreditation Core Component 2.A (CRRT.B.10.010) and Assumed Practice A.5.D. (CRRT.B.10.020)*

## 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 Regulations 34 CFR §§602.17(g) and 602.17(h).

*Related HLC Requirement: Institutional Practices for Verification of Student Identity and Protection of Student Privacy (FCDR.A.10.050), Criteria for Accreditation Core Component 2.A. (CRRT.B.10.010)*

## 5. Protection of Student Privacy

Provide the web address to the institution’s policies governing student privacy and the privacy and security of student data, including student records.

Link:

Provide the web address to the institution's disclosures about how any personal data collected, including personally identifiable information (PII), may be used.

Link:

Provide a brief narrative below describing how the institution ensures timely training and adherence to the policies referenced in this section by its employees and any third-party contractors acting on its behalf:

For more information see Federal Regulations 34 CFR §602.17(h).

*Related HLC Requirements: Institutional**Practices for Verification of Student Identity and Protection of Student Privacy (FDCR.A.10.050), Recruiting, Admissions and Related Enrollment Practices (FDCR.A.20.020)****,*** *Assumed Practice A.2. (CRRT.B.10.020)*

## 6. Publication of Student Outcome Data

The institution must disclose student outcome data in a manner that is easily accessible to the public. The institution's website includes a webpage containing (or linking to) data related to student achievement that addresses the broad variety of its student populations and programs, including at the undergraduate and graduate levels, as applicable. The information must include retention, completion, required state licensure exam pass data (if applicable), and data about the institution’s students after transfer or graduation (such as continuing education, job placement and earnings). The institution must also disclose which student populations are excluded from the data. If an institution uses student job placement data in any marketing or recruitment content, it must also publicly disclose these data on its website along with information necessary to substantiate the truthfulness of its marketing and recruitment materials. All student achievement information must be presented in plain language, with any technical terms defined and the institution's methodology for compiling data included.

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

[ ]  Yes

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

If yes, provide a link to the webpage(s) that contains the student outcome data.

Link(s):

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

*Related HLC Requirements: Public Information (FDCR.A.10.070), Review of Student Outcome Data (FDCR.A.10.080), Assumed Practice A.6.**(CRRT.B.10.020)*

## 7. Standing With State and Other Accreditors

List the 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 there are any pending or final state actions that affect the institution’s legal status or authority to grant degrees or offer programs.

List any relationships the institution has with any other recognized accreditor (e.g. Accreditation Commission for Education in Nursing; Council for the Accreditation of Educator Preparation; Distance Education Accrediting Commission).

Note whether there are any pending or final actions by any other recognized accreditor to withdraw status or impose a sanction, Show-Cause Order or adverse action.

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

Link:

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

*Related HLC Requirements: Standing With State and Other Accreditors (FDCR.A.10.090), Criteria for Accreditation Core Component 2.B; Assumed Practices A.7, C.4.; Obligations of Membership #8 and #9 (INST.B.30.020)*

## 8. Recruiting, Admissions and Related Institutional Practices

Upload as part of this filing the institution’s (i) training materials and (ii) code of conduct (or its equivalent) for its recruiters, admissions counselors, marketing or advertising staff, financial aid advisors, and any other personnel engaged in direct communications with prospective and current students, as required by HLC policy.

Provide a brief narrative below describing how the institution ensures timely training and adherence to its procedures by employees and any third-party contractors acting on its behalf in this area.

For more information see Federal Regulations 34 CFR §§668.14 and 668.82

*Related HLC Requirements: Fraud and Abuse (FDCR.A.20.010), Recruiting, Admissions and Related Enrollment Practices (FDCR.A.20.020), Criteria for Accreditation Core Components 2.A and 2.B (CRRT.B.10.010), Assumed Practice A.2. (CRRT.B.10.020)*

## 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 and any reports issued by the institution, if applicable, demonstrating the institution’s improvement efforts in response to such communications. Negative actions include, but are not limited to limitation, suspension or termination actions by the Department; letter of credit requirements, fines, heightened cash monitoring, or reimbursement payment methods imposed by the Department; or other negative findings on the basis of any Single Audit (or its equivalent) submitted by the institution.