

LASFAA 2011

Policies and Procedures: Is Your School Compliant?

**Trevor Summers
U.S. Department of Education**



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GO FURTHER
FEDERAL STUDENT AID®

Why Are These Important?

- *Policies* reflect what you do
- *Procedures* show how you do it
- *Policies* are generally public
- *Procedures* can be public or private
- *Policies* are required by regulation
- *Procedures* are required by good business practice



Why Are These Important?

- For Audit purposes
- For Program Review purposes
- For Institutional Eligibility purposes
- These policies let the auditor/reviewer know how your school operates

Top Secret? Not Really....

- Would you like an inside look at what happens during a Program Review?
- Read the Program Review Guide
- IFAP->Publications->Program Review Guide

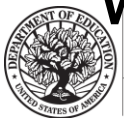


The Big Four Policies

- Admissions
- Return to Title IV Funds
- Satisfactory Academic Progress
- Refund

The Big Four-Admissions Policy

- Who is admitted?
- Who is admitted as a regular student?
- Are there dually enrolled (H.S. and college) students?
- What about persons who have a high school diploma or its recognized equivalent?
- What about students who are beyond the age of compulsory attendance within your state and passes an ATB?



The Big Four-SAP Policy

- The policy is at least as strict as the policy the institution applies to a student who is not receiving assistance under the title IV, HEA programs

The Big Four-SAP Policy

- The policy provides for consistent application of standards to all students within categories of students, *e.g.*, full-time, part-time, undergraduate, and graduate students, and educational programs established by the institution



The Big Four-SAP Policy

- The policy provides that a student's academic progress is evaluated—
- At the end of each payment period if the program is one academic year in length or shorter
- At the end of each payment period or at least annually to correspond with the end of a payment period

The Big Four-SAP Policy

- The policy specifies the grade point average (GPA) that a student must achieve at each evaluation
- The policy specifies “C” or its equivalent after two years, or have academic standing consistent with the institution's requirements for graduation



The Big Four-SAP Policy

- SAP Policy specifies Pace of Progression necessary for completing on time
- Divide the cumulative number of hours the student has successfully completed by the cumulative number of hours the student has attempted

The Big Four-SAP Policy

- The policy describes how a student's GPA and pace of completion are affected by incompletes, withdrawals, or repetitions, or transfers of credit from other institutions
- Credit hours from another institution that are accepted toward the student's educational program must count as both attempted and completed hours



The Big Four-SAP Policy

- The policy provides that, at the time of each evaluation, a student who has not achieved the required GPA, or who is not successfully completing his or her educational program at the required pace, is no longer eligible to receive TIV



The Big Four-SAP Policy

- Do you offer the Financial Aid Warning status?
- Do you offer Financial Aid Probation status?
- Do you offer Academic Plans?
- Do you consider SAP appeals?

The Big Four-SAP Policy

- If the institution does not permit a student to appeal a determination by the institution that he or she is not making SAP, the policy must describe how the student may reestablish his or her eligibility to receive assistance under the title IV, HEA programs

The Big Four-SAP Policy

- The policy provides for notification to students of the results of an evaluation that impacts the student's eligibility for title IV, HEA program funds

The Big Four-R2T4 Policy

- What triggers an R2T4 calculation
- How the calculation is done
- When a post withdrawal disbursement would be possible
- Official procedures for withdrawing
- How you determine the withdrawal date for a student who withdraws officially or unofficially
- Timeframe of Return of Funds
- Order of Return of Funds

The Big Four-Refund Policy

- Must show:
- Any refund policy with which you are required to comply for the return of unearned tuition and fees or other refundable portions of costs paid to the school
- Sometimes this comes from Accreditor
- Sometimes this comes from State Licensing Agency



Beyond the Big Four....

- Verification Policy
- A written statement explaining the following:
 - Documents required for verification
 - Student responsibilities—including correction procedures, the deadlines for completing any actions required, and the consequences of missing the deadlines
 - Notification methods—how your school will notify a student if her award changes

Verification Self Assessment

- Online verification assessment module

ifap.ed.gov/qahome/qaassessments/fsa_verification.html

Consortium / Contractual Agreement

- Consortium agreement—a written agreement between two or more eligible schools
- Contractual agreement—a written agreement between an eligible school and an ineligible school
- Home school—the school where the student is enrolled in a degree or certificate program

Consortium / Contractual Agreement

- Host school—the school where the student is taking part of his or her program requirements through either a consortium or contractual agreement
- Two plus two program—a partnership between a two-year and four-year school that facilitates a student's completing the last two years of the student's four-year degree

Consortium / Contractual Agreement

- If arrangement between an eligible and an ineligible school/organization, the program is not eligible if the ineligible school or organization was:
 - Terminated
 - Withdrew due to administrative action by ED, Accrediting Agency, State licensing agency, or guarantor
 - Certification or re-certification for participation in Title IV programs revoked or denied by ED



Consortium / Contractual Agreement

- If there is an arrangement between 2 or more eligible schools *owned or controlled by the same individual, partnership, or corporation*
 - The school that grants the degree/certificate must provide **MORE** than 50% of the program
- Does NOT apply to public or nonprofit institutions



Consortium / Contractual Agreement

- Required disclosures to prospective & enrolled students applicable to all schools where *program is designed* to be offered by another entity
 - Portion of program *not* being offered by the degree/certificate granting school
 - Name and location of the other school/organization
 - Method of delivery *not* being offered by the degree/certificate granting school
 - Estimated additional costs may incur due



Consortium / Contractual Agreement

- Assessing your school's compliance
- To review your school's compliance with the provisions of this section, see Activities 4 and 5 in the FSA Assessment module for "Institutional Eligibility," at
- ifap.ed.gov/qahome/qaassessments/institutionalelig.html

Leave Of Absence (TIV LOA)

- You must have a formal written policy regarding leaves of absence requiring that all requests for leaves of absence be submitted in writing and include the reason for the student's request;
- The student must follow the school's policy in requesting the LOA;
- There must be a reasonable expectation that the student will return from the LOA;
- The school must approve the student's request for an LOA in accordance with the school's policy;



LOA (TIV LOA)

- The institution may not assess the student any additional institutional charges, the student's need may not increase, and therefore, the student is not eligible for any additional Federal Student Aid;
- The LOA, together with any additional leaves of absence, must not exceed a total of 180 days in any 12-month period;



LOA (TIV LOA)

- Except in a clock-hour or nonterm credit-hour program, a student returning from an LOA must resume training at the same point in the academic program that he or she began the LOA and
- If the student is a Title IV loan recipient, the school must explain to the student, prior to granting the LOA, the effects that the student's failure to return from an LOA may have on the student's loan repayment terms, including the expiration of the student's grace period.



Vaccination Policy

- Schools must make available to current and prospective students information about its vaccinations policies
- Higher Education Opportunity Act of 2008
- HEA section 485(a)

Clery/Campus Security Act

- The Handbook for Campus Safety and Security Reporting AND Campus Safety and Security Reporting Training can be found at:

<http://www2.ed.gov/admins/lead/safety/handbook-2.pdf>

<http://www2.ed.gov/admins/lead/safety/campus.html>



Clery / Campus Security Act

- Geography
- Mandatory for all institutions
- Your institution must disclose statistics for *Clery Act crimes that occur on campus, in or on noncampus buildings or property and public property.*



Clery / Campus Security Act

- Crime Statistics
- Mandatory for all institutions
- You must collect statistics for reported crimes on your Clery geography
- You must disclose the statistics in your annual security report and the annual Web-based data collection

Clery/Campus Security Act

- Campus Security Authorities
- Mandatory for all institutions
- You must identify individuals/offices with responsibility for student and campus activities
- Alleged crimes reported to these campus security authorities are then reported by these campus security authorities to someone designated by the institution to collect such reports, such as the campus police or security department



Clery/Campus Security Act

- Statistics From Local Law Enforcement Agencies
- Mandatory for all institutions
- Your institution must make a good-faith effort to collect crime statistics for all Clery Act crimes committed in applicable geographic locations from all law enforcement agencies with jurisdiction for your institution

Clery / Campus Security Act

- The Daily Crime Log
- Mandatory for all institutions with a campus police or security department
- Emergency Response and Evacuation Procedures
- Mandatory for all institutions



Clery/Campus Security Act

- Timely Warnings
- Mandatory for all institutions
- Annual Security Report
- Mandatory for all institutions
- Report to ED via the Web-based Data Collection
- Mandatory for all institutions

Clery / Campus Security Act

- Missing Student Notification Procedures
- Mandatory for all institutions with on-campus student housing facilities
- Fire safety log
- Mandatory for all institutions with on-campus student housing facilities



Clery/Campus Security Act

- Fire Safety Statistics
- Mandatory for all institutions with on-campus student housing facilities
- Annual Fire Safety Report
- Mandatory for all institutions with on-campus student housing facilities



FERPA Policy

- A school is required to—
- Annually notify students of their rights under FERPA
- Include in that notification the procedure for exercising their rights to inspect and review education records; and.....



FERPA Policy

- A school is required to—
- Maintain a record in a student's file listing to whom personally identifiable information was disclosed and the legitimate interests the parties had in obtaining the information



Awarding of Aid Policy

- How much grant aid?
- How much loan money?
- Who gets FSEOG?
- How much FSEOG?
- Who gets Perkins?
- How much Perkins?
- What about graduate students?
- What about scholarships?

Awarding Campus Based Aid

- FSEOG Selection Policy
- FSEOG Matching Policy
- FWS Selection Policy
- FWS Matching Policy
- FWS Community Service Policy
- Perkins Match Policy

Credit Balance Retention Policy

- Does your institution has a policy for retaining credit balances?
- Does the statement used to obtain the authorization meets requirements?

Credit Balance Retention Policy

- All components of an authorization must be conspicuous to the reader
- An authorization must clearly provide the student or parent with the information he or she needs to make an informed decision

Credit Balance Retention Policy

- The student or parent must be informed that he or she may refuse to authorize any individual item, and that he or she may withdraw such authorization at any time



Credit Balance Retention Policy

- The authorization must clearly explain how the school will carry out an activity
- For example, a credit-balance authorization must provide detail that is sufficient to give the student or parent of how the credit balance will be used



Attendance Policy

- Are students dropped after a number of absences? If so, what number is that?
- How and when is it enforced?
- Who keeps attendance records and how often (daily, weekly, monthly?)
- What about externships, how is attendance monitored during this time?

Contact Person For Consumer Information

- Who can I obtain consumer information from?
- Where is their office?
- You must publicize the availability of employees for information dissemination purposes

Copyright Information

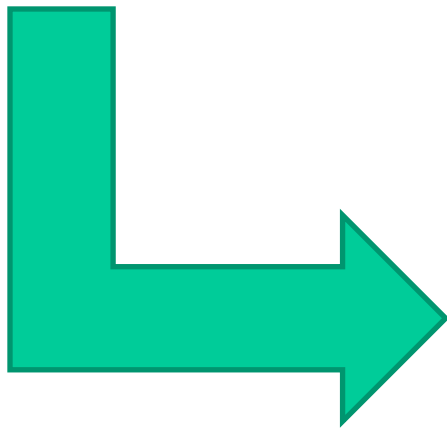
- A statement that explicitly informs its students that unauthorized distribution of copyrighted material, including unauthorized peer-to-peer file sharing, may subject the students to civil and criminal liabilities
- A summary of the penalties for violation of federal copyright laws

Copyright Information

- A description of the school's policies with respect to unauthorized peer-to-peer file sharing
- The legal alternatives for downloading or otherwise acquiring copyrighted material

Copyright Information

Volume 2, Chapter 6 of FSA Handbook gives great example of statement of penalties for violation of copyright



Sample statement of penalties for violation of copyright

A school may use this sample statement to meet the requirement that it disseminate a summary of the penalties for violating Federal copyright law. The use of this sample summary is optional.

Summary of Civil and Criminal Penalties for Violation of Federal Copyright Laws **NEW**

Copyright infringement is the act of exercising, without permission or legal authority, one or more of the exclusive rights granted to the copyright owner under section 106 of the Copyright Act (Title 17 of the United States Code). These rights include the right to reproduce or distribute a copyrighted work. In the file-sharing context, downloading or uploading substantial parts of a copyrighted work without authority constitutes an infringement.

Penalties for copyright infringement include civil and criminal penalties. In general, anyone found liable for civil copyright infringement may be ordered to pay either actual damages or

“statutory” damages affixed at not less than \$750 and not more than \$30,000 per work infringed. For “willful” infringement, a court may award up to \$150,000 per work infringed. A court can, in its discretion, also assess costs and attorneys’ fees. For details, see Title 17, United States Code, Sections 504, 505.

Willful copyright infringement can also result in criminal penalties, including imprisonment of up to five years and fines of up to \$250,000 per offense.. For more information, please see the Web site of the U.S. Copyright Office at: www.copyright.gov.



Transfer of Credit Policies

- Any established criteria the school uses regarding the transfer of credit earned at another institution
- A list of postsecondary schools with which the school has established an articulation agreement

Secondary Confirmation

- School policies and procedures on secondary confirmation
- See 34 CFR 668.134–135

“An institution shall establish and use written policies and procedures for requesting proof and securing confirmation of the immigration status of applicants for title IV, HEA student financial assistance who claim to meet the eligibility requirements of §668.33(a)(2). These policies and procedures must include.....”

Policy to Prevent Escheating

- What's escheating?
- It's when unclaimed government money goes back to the state or institution
- What's your escheating policy?



Consumer Information

- Completion, Graduation and Placement Rates
- Drug and Alcohol Policy
- Institutional Costs and Financial Assistance
- Athletic Program Participation Rates

Finally.....

- A Guide to Creating a Policies & Procedure Manual

IFAP->

Tools for Schools->

FSA Assessments



The screenshot shows the Federal Student Aid website. At the top, there is a navigation bar with the text "START HERE GO FURTHER FEDERAL STUDENT AID" and "Quality Assurance Program". Below this is a sidebar menu with the following items: Home, Joining the QA Program, Tools for Schools, FSA Assessments (highlighted), ISIR Analysis Tool, Action Plan, Training & Guidance, Conferences & Upcoming Events, Recent Correspondence, Data Analysis Reports, Archive, Contact Us, and Links. The main content area is titled "FSA Assessments" and contains a paragraph explaining the program. Below the text is a table with two columns: "Students" and "Schools". The "Students" column lists links for Student Eligibility, Satisfactory Academic Progress, and Verification. The "Schools" column lists links for A Guide to Creating a Policies and Procedures Manual, Automation, Consumer Information, Default Prevention & Management, Fiscal Management, Institutional Eligibility, and Return of Title IV Funds. At the bottom of the table, there are two more categories: "Campus-Based Programs" and "Innovations".

FSA Assessments

In collaboration with financial aid professionals, Federal Student Aid has designed the FSA Assessments to help schools with compliance and improvement activities. The assessments contain links to applicable laws and regulations. The [FAQ page](#) provides guidance on how to navigate and begin using the FSA Assessments. The [FSA Assessments Chart](#) can help you choose the FSA Assessments to complete.

Students	Schools
Student Eligibility	A Guide to Creating a Policies and Procedures Manual
Satisfactory Academic Progress	Automation
Verification	Consumer Information
	Default Prevention & Management
	Fiscal Management
	Institutional Eligibility
	Return of Title IV Funds
Campus-Based Programs	Innovations

- Thanks to LASFAA for allowing FSA, and me, to participate in your conference!



Supervisor of Training Officers Requests Feedback from FAAs

- Jo Ann Borel
- Supervisor of Training Officers
- United States Department of Education/Federal Student Aid
- Phone: 202-377-3930
- joann.borel@ed.gov

Contact Info

- Trevor Summers
- Training Officer
- United States
Department of
Education
- Federal Student Aid
- Dallas Regional Office
- 214 661 9468
- trevor.summers@ed.gov
- Kevin Campbell
- Training Officer
- United States
Department of
Education
- Federal Student Aid
- Dallas Regional
Office
- 214 661 9488
- kevin.campbell@ed.gov





Questions



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