

Texas Higher Education Coordinating Board (THECB)

Certificate of Authorization Annual Compliance Report

Authority, Penalties & Due Dates:

Authority

Pursuant to Texas Higher Education Coordinating Board Rule 7.7, an institution operating under a Certificate of Authorization is subject to annual review for continued compliance with its Board-recognized accreditor's standards of operation, student complaint processes, financial viability, and accurate and fair representation in publications, advertising, and promotion. THECB issues a Certificate of Authorization to an institution so that the institution may offer degrees or courses leading to degrees in Texas. When reporting programs or courses offered in Texas, the institution may limit its reporting to degree programs and courses leading to degrees. Certificate and diploma programs do not need to be reported as they are not included in the institution's program inventory on the THECB website.

Separate from student data reporting requirements

The annual compliance review reporting is separate from student data reporting. Annual compliance reports are due either January 15 or July 15, depending on the institution's name. Student data reporting is required annually by December 1 of each year for all institutions.

- Student data reporting (CBM001 enrollment and CBM009 graduation) covers the status of an institution's students.
- Institutions may also be contacted on an individual basis regarding additional financial and faculty information for the institution's online institutional resume.

Annual compliance review reporting covers compliance with institutional accreditor and THECB standards of operation. The annual compliance report time-frame is for activities within 12 months prior to the report deadline: January 16 of previous year to January 15 of current year for A-O institutions and July 16 of previous year to July 15 of current year for P-Z institutions.

Clinical listings (Out of State Institutions only) is an exception. Time-frame instructions for clinical listings is found in Section III of the Annual Compliance Report (ACR).

Penalties

An institution that fails to comply with the annual compliance review reporting requirements is subject to revocation of its Certificate of Authorization. Board staff may also recommend revocation based on deficiencies in compliance with an institution's Board-recognized accreditor's standards, found in annual review documentation and not corrected by the institution upon request by Board staff. Prior to making a recommendation to the Board, staff has discretion to conduct a site visit at the institution if warranted by facts disclosed in the annual compliance review documentation. The Board-recognized accreditor will be notified and invited to participate.

Due Dates:

Annual reviews are conducted based on an institution's name and initial date of authorization.

- Institutions with names starting with "A" through "O" must submit annual review documentation by January 15 of each year. The Board will review staff recommendations at the annual July Board meeting.
- Institutions with names starting with "P" through "Z" must submit annual review documentation by July 15 of each year. The Board will review staff recommendations at the annual January Board meeting.

Institutions that have received their first Certificate of Authorization less than six months from the due date for submission of the annual review documentation may wait to submit documentation until the following annual review submission date. If an institution receives a memo instructing it to submit an annual compliance review report and the institution believes it may wait to report until the following annual review submission date, please contact the THECB staff listed at the end of these instructions.

Annual Compliance Review Report Submission Instructions and Format

Report requirements based on type and location of institution

Report documentation may vary based on type and location of the institution. Each section of the annual compliance report includes one or more check boxes which must be chosen to determine proper documentation supporting the section.

- For Texas-based campuses or locations: Each institution location under a Certificate of Authorization must submit annual compliance reporting documentation. For purposes of annual compliance, "institution" refers to each individual campus or location.
- An educational system may have multiple campuses or locations authorized within Texas. Each campus or location must provide separate annual compliance review documentation unique to that campus or location, such as address or contact information. However, separate campuses or locations may be combined in one report if common documentation, such as student catalogs or administrative policies, is available.
- For out-of-state institutions authorized solely to provide Texas clinicals or internships: An out-of-state institution offering Texas clinicals or internships must submit one set of compliance reporting documentation.
- The out-of-state institution does not need to submit separate documentation for each clinical or internship location.
- If the out-of-state institution is an Authorized Institution under a State Authorization Reciprocity Agreement (SARA) and is operating in Texas under the conditions established in the NC-SARA State Authorization Reciprocity Agreement Policies and Standards, the institution may indicate its status on the ACR cover page, sign the Certification & Attestations page, and provide documentation of SARA authorization.

Attestations

An institution representative is required to certify, attest or affirm statements of fact on behalf of the institution. THECB considers such certifications, attestations, or other affirmations of fact as evidence that the institution representative has been given the power to bind the institution with such certifications, attestations, or other affirmations of fact.

Format

This report includes both fillable fields and requests for attachments. In completing this report, the institution should:

1. Complete all fillable fields in the report, including check boxes to determine proper documentation;
2. Print the report if adding attachments;
3. Prepare and organize any attachments as appendices or referenced as separate files, if necessary;
4. Scan and/or save the report as a PDF document-if possible;
5. Include institution name in file name;
6. Upload the PDF document to the THECB Certificate of Authorization Institutions Portal as directed in the annual compliance memo sent to the institution.

The completed report MUST include:

- I. Cover Page
- II. Accreditation Status
- III. Supporting Financial Documents
- IV. Current Degree Programs/Clinicals/Internships
- V. Student Catalog/Handbook Copy or Links and Annotations
- VI. Summary of Student Complaints for Campus/Location
- VII. Texas Student Complaint Policy/Links
- VIII. Certification/Attestation
- IX.

FAILURE TO COMPLETE ANY SECTION OF THE REPORT WILL RESULT IN A FINDING OF NONCOMPLIANCE

If questions, please contact:

- Annual Compliance Report components or timing of review and approval questions: Paul Shuler, Program Director, at 512.427.6223 or paul.shuler@thecb.state.tx.us .
- Portal access or portal questions: Cristine Ayala, Program Specialist, at 512.427.6524 or cristine.ayala@thecb.state.tx.us .
- For all other questions: Cathie A. Maeyaert, Special Projects Director, at 512.427.6527 or cathie.maeyaert@thecb.state.tx.us .

I. Cover Page

Date of Application:

Institution Information

Name of institution:

Physical address of campus:

Street

Street2

City

State and Zip

Mailing address of main campus, if needed:

Street

Street 2

City

State and Zip

Has Institution Name or Address Changed in last 12 months? If yes, check box:

NOTICE:

- **Every campus or location under a Certificate of Authorization must complete a separate cover page.**
- **If an institutional system is completing a combined report for multiple locations, a cover page must be included for each location and clearly indicate the location name or designation**

All cover pages should be included at the beginning of the report. For subsequent report areas, the institutional system will be able to indicate if the documentation applies system-wide or to a particular campus or location.

If Out of State:

Is Institution authorized to operate under State Authorization Reciprocity Agreement (SARA):

If authorized under SARA, attach evidence of SARA status.

Out-of-state SARA institutions need to complete sections I (Cover Page) and VIII (Certification & Attestations) only.

II. Accreditation Status

Name of THECB-recognized accreditor:

Attach documentation of accreditation as an appendix.

Campus' current accreditation term [start date to end date]:

Type start date to end date above. If end date is not a specific date, put latest possible date.
For example: 2020-2028 is 12/31/2028.

Degree levels approved by THECB-recognized accreditor [Check all boxes that apply.]:

- Associate Master Bachelor Doctoral
 Professional / Other (Note: THECB does not authorize non-degree programs.)

Accreditor or state regulator actions, requirements or approvals in the last 12 months:

If action noted above, attach documentation as an appendix.

Has the institution's THECB-recognized accreditor made public any pending or final actions which have negatively changed the institution's accreditation status or require additional reporting? [Check yes or no box.]

Yes If "Yes", attach documentation as an appendix explaining current status, reasons for the negative or adverse action and actions taken by the institution or Texas location to reverse the negative or adverse action.

No

Has the institution's THECB-recognized accreditor approved any changes in location, ownership or management of the institution? [Check yes or no box.]

Yes If "Yes", attach documentation as an appendix explaining approval(s).

No

Texas Workforce Commission (TWC) Status

Institutions must contact TWC to determine any necessary licensure, exemption, or exclusion from oversight.

TWC, Career Schools and Colleges may be contacted at 512.936.3100 or career.schools@twc.state.tx.us

Attach TWC document as an appendix [Check one box]:

- TWC Current Certificate of Approval - licensing institution to operate in Texas;
- TWC Exemption status letter or email – qualified for exemption from TWC oversight;
- TWC Exclusion letter or email – documentation explaining exclusion from all TWC oversight.

III. Supporting Financial Documents

Is the institution an out-of-state public institution statutorily authorized to operate in its home state? Below, FRCS is the U. S. Financially Responsible Composite Score.

Yes; if "Yes", attach documentation as Appendix D showing statutory authorization to operate in another state. Skip FRCS information request below.

No; if "No", provide information below regarding US Department of Education calculated FRCS.

Most recent US Department of Education calculated Financial Responsibility Composite Score (FRCS):

Academic year (AY) for which FRCS was calculated:

Documentation showing FRCS calculation is required - attach documentation as Appendix D.

If FRCS is below 1.5, attach documentation as Appendix D-1 of all actions taken since date of calculation to raise the score to 1.5 or higher.

Financial Resources – Indemnification for Students

All postsecondary educational institutions which operate under Certificate of Authorization must provide evidence of reserves, lines of credit, or other surety instruments (Hereinafter, "Surety," regardless of type of reserve, line of credit or financial instrument) sufficient to provide indemnification to any student or enrollee of the school or his/her parent or guardian for the current term as a result of violation of any minimum standard or if the institution is unable to continue to provide instruction to its enrolled students for any reason.

Public institutions located outside of Texas:

Attach documentation the institution is publically funded by the state in which the institution is located. Documentation may include statutes, legislation or other information indicating sources of state funding.

All other institutions applying for Certificate of Authorization:

Financial resources documentation must meet THECB requirements listed in THECB [Rule 7.7\(1\)\(A\)\(xi\)](#). Further surety/financial resources instructions may be found online at [resources](#), including surety instrument templates.

Documentation must include a letter signed by authorized institutional representative providing calculation and method for computing amount of financial resources available to indemnify students, enrollees, or parent/guardians.

Documentation of surety calculation must be provided at time of application for a Certificate of Authorization.

Send Institutional financial resources documentation to Paul Shuler at paul.shuler@theccb.state.tx.us or 1200 E. Anderson Lane, Austin, TX, 78752.

The Institution may contact Dr. Shuler by email or phone, (512) 427-6223, for THECB surety requirement questions.

Note: Certificate of Authorization will not be approved prior to receiving a THECB-approved surety instrument.

Ownership/Business Type

Type of Business:

If For-Profit or Other, attach the following information for each person/company with a controlling interest as **Appendix F**:

1. Name
2. Address
3. Phone number
4. Title
5. Statement of no involvement in a bankruptcy, felony, or governmental regulatory disciplinary action.

OR

Documentation of involvement in a bankruptcy, felony, or governmental regulatory disciplinary action.

IV. CURRENT DEGREE PROGRAMS/CLINICALS/INTERNSHIPS

TYPE OF INSTITUTION AND DOCUMENTATION REQUIRED:

- If an **institutional system** is completing a combined report for multiple locations, a separate list of degree programs, clinicals/internships must be included for each campus location and clearly indicate the location name or designation if information is not identical for all locations.
- **Texas-based campus or location:**
 - Follow the Program Inventory Steps on the next page.
 - Texas-based campuses or locations do **not** need to complete the clinical/internship Excel spreadsheet.
 - If the institution does not currently offer degree programs, institution should indicate non-degree status and the Certificate of Authorization will be cancelled immediately.
- **Out-of-state institution authorized solely to provide Texas clinicals or internships:**
 - Follow the Program Inventory Steps on the next page.
 - Ensure only degree programs which have a clinical/internship component are listed.
 - Complete the clinical/internship Excel spreadsheet showing all current or scheduled to start within the next 12-month authorization period clinical/internship locations and related information.
 - For example, if an institution is reporting in January, list all clinicals or internships which are currently being completed or are scheduled to start between January 16 of the current year and January 15 of the following year; if an institution is reporting in July, list all clinicals or internships which are currently being completed or are scheduled to start between July 16 of the current year and July 15 of the following year.
 - If the institution has no current or scheduled clinical/internship locations, the Certificate of Authorization will automatically expire at the end of its current one year authorization period if the institution does not report additional clinicals/internships before the expiration date.
 - Institutions may also indicate their Certificate of Authorization should be cancelled immediately.
- All types of experiential learning should be reported. THECB Rule 7.3 definitions apply:
 - Experiential Learning--Process through which students develop knowledge, skills, and values from direct experiences outside an institution's classrooms. Experiential learning encompasses a variety of activities including, but not limited to, internships, externships, practicums, clinicals, field experience, or other professional work experiences.
 - Clinical Internship--This learning method, also known as "clinicals," encompasses all site-specific health professions experiential learning. Clinicals include site experiences for medical, nursing, allied health, and other health professions degree programs.
 - Internship--This learning method encompasses all non-clinical site experiential learning.

PROGRAM Inventory Steps for Annual Compliance Report:

For entities reporting more than one campus, perform the following steps for each campus.

1. Go to the following THECB website: [Program Inventory](#)
2. Depending on the type of institution, choose either "For Profit Colleges & Universities Authorized by Certificate" OR "Other Institutions Authorized by Certificate" under "Institution Type."
3. Choose your institution name from the drop down box labeled "Institution."
 - a. If you do NOT see your institution name in the drop down box:
 - i. Look for other variations of name. For example, The Art Institute might be listed as Art Institute;
 - ii. Try a different "Institution Type" category;
 - iii. If your institution name is not found after trying the above alternatives, please contact THECB staff as listed in the instructions.
4. Choose "Excel" Format option. The "PDF" option will not allow you to make any necessary updates to the program list.
5. Leave the "Order by CIP code" checked.
6. Click "Produce Inventory icon.
7. You will likely need to click "Open" or "Download" if a dialog box appears.
8. It is common for a popup box from antivirus software to ask if you are sure you wish to open the file "from an unknown source." You will need to click "yes" to open the spreadsheet.

The result will be a spread sheet with your institution's program(s) information. To include this report and any necessary revisions, please follow these steps:

1. Review the spreadsheet report for accuracy. Is each:
 - a. CIP code correct?
 - b. Program name correct?
 - c. Degree level and designation correct?
 - d. Program with a Program End Date correctly ended?
2. In the cell next to Degree Levels "Professional" - type the word "Correct?" In this new column you will notify us if the program information is correct or not.
 - a. If the program row's information is correct, type "yes" under the "Correct?" heading.
 - b. If the program row's information is incorrect type "no" under the "Correct?" heading and include what needs to be changed. You may need to modify the size of the cell by expanding its width or wrapping the text within the cell.
 - c. DO NOT delete the incorrect row information - just add the correct information after typing "no."
3. If a change is required, provide supporting documentation of the revision as an appendix or separate file attachment to this Annual Compliance Report. Type the appendix or file name(s) here:
4. To add NEW program(s) to the spreadsheet:
 - a. Type "NEW" in the first row below the current program list – directly below the Generated date and time.
 - b. In the row below "NEW" add the new program information, including CIP Code, Name, Start Date, and Program Level and Degree Designation.

- c. Repeat step (b) for each new program.

Save the spreadsheet and attach it to the Annual Compliance Report either as an appendix or separate file. Denote the name of the appendix or file here:

Check here if Institution does NOT currently offer degree programs at this campus/location. The Certificate of Authorization may be cancelled.

OUT OF STATE SCHOOLS ONLY

CURRENT CLINICALS/INTERNSHIPS TABLE

Complete attached Clinical/Internship Excel spreadsheet and indicate the reporting period: Choose an item.

IF INSTITUTION IS OUT OF STATE (OOS) AND HAS NO CLINICALS/INTERNSHIPS TO REPORT ON THE CLINICAL/INTERNSHIP SPREADSHEET, CHECK ONE OF THE FOLLOWING BOXES:

The current Certificate of Authorization expires after the date of this annual compliance report, but during the next annual compliance reporting period. The Certificate of Authorization will expire at the end of the current authorization period if the institution does not report additional clinicals/internships before the expiration date. It is understood the institution may reapply for a Certificate of Authorization if new clinicals or internships are scheduled in Texas.

-or-

The current Certificate of Authorization expires on or before the date of this annual compliance report. It is understood that the institution may reapply for a Certificate of Authorization if new clinicals or internships are scheduled in Texas.

In both circumstances, the institution will not continue to be authorized to offer degrees or courses leading to degrees without further application to THECB.

V. STUDENT CATALOG/HANDBOOK COPY OR LINKS AND ANNOTATIONS

WHO MUST COMPLETE THE STUDENT CATALOG/HANDBOOK DOCUMENTATION:

- **Every campus or location** under a Certificate of Authorization must complete information regarding a student catalog/handbook.
- A link to online documentation is preferred.
 - If the student catalog and/or handbook is online and not in one continuous document, include directions given to students in order to navigate to and find all necessary information.

- If online documentation is not available, institution may attach scanned copies of the institution’s student catalog and/or student handbook as an appendix or file.
- If an **institutional system** is completing a combined report for multiple locations, the system may include one set of annotations and catalog/handbook if all locations use the same information.

Information unique to a campus location should be provided separately and clearly indicate the location name or designation.

Link to the student catalog, along with navigation instructions, as needed:

Link to student handbook, along with navigation instructions, as needed:

Appendix name(s) of student catalog and / or handbook, IF no online link:

For the following table, each Information Item in Column One should have at least one box marked in column 2, a specific page or link in column 3 and either column 4 or 5 filled in. Catalog or Student Handbook Annotations – Compliance with Principles Addressed in THECB Rule 7.4(20)(B):

Information	Publication	Specific Page or Link for Information in Column One	Does Accreditor have a Corresponding Standard?	If yes, provide Accreditor's Corresponding Standard
(i) the institution's mission;				
(ii) a statement of admissions policies;				
(iii) information describing the purpose, length, and objectives of the program or programs offered by the institution;				
(iv) the schedule of tuition, fees, and all other charges and expenses necessary for completion of the course of study;				
(v) cancellation and refund policies;				
(vi) a definition of the unit of credit as it applies at the institution;				
(vii) an explanation of satisfactory progress as it applies at the institution, including an explanation of the grading or marking system;				
(viii) the institution's calendar, including the beginning and ending dates for each instructional term, holidays, and registration dates;				
(ix) a complete listing of each regularly employed faculty member, showing: name; area of assignment; rank; and each				

Information	Publication	Specific Page or Link for Information in Column One	Does Accreditor have a Corresponding Standard?	If yes, provide Accreditor's Corresponding Standard
earned degree held, including degree level, degree designation, and institution that awarded the degree;				
(x) a complete listing of each administrator showing name, title, area of assignment, and each earned degree held, including degree level, degree designation, and institution that awarded the degree;				
(xi) a statement of legal control with the names of the trustees, directors, and officers of the corporation;				
(xii) a complete listing of all scholarships offered, if any;				
(xiii) a statement describing the nature and extent of available student services;				
(xiv) complete and clearly stated information about the transferability of credit to other postsecondary institutions including two-year and four-year colleges and universities.				

V. SUMMARY OF STUDENT COMPLAINTS FOR CAMPUS OR LOCATION

TYPE OF INSTITUTION AND DOCUMENTATION REQUIRED:

- Every campus or location under a Certificate of Authorization must complete the table listing student complaints in the last 12 months.
 - If no complaints were received, the institution must check the box verifying there are no applicable complaints.
- If an institutional system is completing a combined report for multiple locations, a separate table must be completed for each campus or location if the campus location can be determined.
- Texas-based campus or location: Include any applicable complaint by a student enrolled at the campus or location.
- Out-of-state institution authorized solely to provide Texas clinicals or internships: Include any applicable complaint by a student who was completing a clinical/internship within Texas at the time of the complaint.

SCOPE OF STUDENT COMPLAINTS TO INCLUDE IN SUMMARY – In accordance with THECB Rules 1.110-112:

- Summarize all known complaints, made by Texas residents or students enrolled at a Texas-based institution or completing a Texas-based clinical/internship, concerning the institution filed within 12 months prior to the annual review reporting date.
- The following complaints are not covered by the Coordinating Board and do not need to be reported:
 - Anonymous complaints
 - Matters within sole purview of the institution, including:
 - Matters solely concerning an individual's grades or examination results
 - Matters related to student life, such as student housing, dining facilities, food service, violations of student code of conduct or student activities and organizations
 - Matters that are or have been in litigation
 - Matters over which the Coordinating Board has no authority, including:
 - Complaints about religious institutions relating solely to religious standards and religious programs of study.
 - Complaints against institutions not authorized by the Coordinating Board to operate in Texas
 - Complaints regarding tribal institutions
 - Complaints regarding criminal matters

SUMMARY OF STUDENT COMPLAINTS:

Check here if Institution received **no** applicable student complaints in the prior 12 months:

Enter below information for each applicable student complaint. Attach additional pages, if needed.

Student 1:

Type of complainant (current, former or prospective student, other-please describe):

Type of complaint (e.g., fraud, false advertising, discrimination, etc.):

Date filed with institution:

Date filed with THECB-recognized accreditor:

Date complaint resolved and closed:

If pending, explain reason complaint not resolved:

Student 2:

Type of complainant (current, former or prospective student, other-please describe):

Type of complaint (e.g., fraud, false advertising, discrimination, etc.):

Date filed with institution:

Date filed with THECB-recognized accreditor:

Date complaint resolved and closed:

If pending, explain reason complaint not resolved:

VI. Certification/Attestation

The Single Point of Contact (SPOC) is the individual designated by the institution as the person responsible for receiving and conveying information between the institution and THECB staff. The SPOC may be separate from the Chief Administrative Officer.

SPOC Name:

Preferred Honorific (Dr., Ms., Mr., etc.)

SPOC Title:

SPOC Address:

SPOC Email:

SPOC Telephone:

Chief Administrative Officer Acknowledgements

The Chief Administrative Officer (CAO) is the individual at the campus or institution with authority to provide information and agree to the terms of the Certificate of Authorization application.

Check all boxes below to acknowledge each statement:

- I am an authorized official representative of the above-name applicant/institution. I affirm that I have read and fully understand this application and agree to its terms and the information contained in this application.
- I acknowledge that the above-name applicant/institution is subject to and in compliance with its THECB-recognized accreditor's standards or criteria, including having a student complaint procedure.
- I acknowledge the above-named applicant/institution is required to provide information regarding annual compliance review reporting, substantive change notification, and student data reporting, as contained in Texas Education Code, Title 19, Part 1, Chapter 7.

Electronic or physical signature:



Date of Signature:

Check box IF CAO is same as SPOC:

CAO Name:

CAO Title:

CAO Email:

FOR ASSISTANCE, CONTACT THE COORDINATING BOARD:

For administrative rule requirement questions: 512.427.6527.

For application completion and submission questions: 512.427.6524.

SUBMIT COMPLETED APPLICATION THROUGH THE

[CERTIFICATE OF AUTHORIZATION INSTITUTION PORTAL](#)

FOR COORDINATING BOARD USE ONLY

Staff Review by:

THECB Action Date: