The PPE Virtual Audit: *Compliance during COVID-19*

Private Postsecondary Education

Presented by: Art Wells

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The Virtual Compliance Audit

- **When**
- **What**
- **Why**
- **Where we go now**
Who Conducts the Audits?

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Compliance Audit – Who is Audited?

All postsecondary schools certified by SCHEV to operate in the Commonwealth of Virginia

• Degree Institutions
• Non-Degree Institutions
When are Schools Audited?

Schools are selected for audit based upon:

- Date of Previous Audit
- Newly certified schools – 6-18 months after initial certification
- Other Reasons:
  - Student complaints
  - Issues with Accreditor
  - Issues with Department of Education

Why are Schools Audited?

To review, inspect and investigate compliance with:

- Statutory Authority:
- Title of Regulations:
  8 VAC 40-31 et.seq.
Initiate
- SCHEV develops Audit Schedule
- Institution contacted by compliance investigator and reserve a visit date.

Prepare
- Receive a letter and itinerary which outlines upcoming visit
- Send requested items for pre-audit to SCHEV
- Institution prepare for audit

Conduct
- Opening meeting
- Compliance Investigator conducts audit
- Closing meeting

Finalize
- Receive audit report
- Respond to report
- Receive closure letter

What is the Audit Process? - Step 1
- SCHEV develops an audit schedule
- Agree on a date with compliance investigator.
What is the Audit Process? – Step 2

Prepare

- Receive an itinerary which outlines upcoming visit
- Send requested items for pre-audit to SCHEV
- Prepare materials & room for audit

What is the Audit Process? – Step 3

Conduct

- Opening meeting
- Compliance Investigator conducts audit
- Closing meeting
What is the Audit Process? – Step 4

- Receive audit report
- Respond to report
- Receive closure letter

Finalize

What are the common findings?

Schools typically:

- Do not put “Certified to Operate by SCHEV”
- Have incorrect refund policy
- Do not have a truth-in-lending statement
- Do not have a written policy that instructional faculty are accessible outside of class
- SCHEV forms are not completed
- Instructors are not qualified to teach
Wrong Place, Wrong Time

• “They had their fingers on the trigger of the Stingers!”

Compliance Audit
How to be Audit Ready: *Distance Education*

Private Postsecondary Education

Presented by: Susan Yale

Compliance Audit – *Who is audited?*

All postsecondary schools with distance education courses or programs certified by SCHEV to operate in Virginia

- Institutions of Higher Education
- Career Technical Schools
Why is SCHEV Conducting Distance Education Audits

To review, inspect and investigate compliance with:

- **Statutory Authority:** § 23.1-219.F of the Code of Virginia
- **Title of Regulations:** 8 VAC 40-31-160 (L)

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When Did All This Begin?

Process Timeline

- September & October
- November
- December
- January - now
What Are the Distance Education Audit Steps?

Initiate
- SCHEV develops a distance education audit list
- School is contacted by compliance investigator and reserve a visit date
- Decision is made if conducted in the SCHEV offices or an on-site audit is required

Prepare
- Receive an itinerary which outlines upcoming visit
- Send requested items for pre-audit to SCHEV
- Provide online access to compliance investigator

Conduct
- Compliance Investigator conducts audit reviewing:
  - Primarily ensuring online courses are comparable to on-ground course
  - Online platform, syllabi, interactions within the course, instructional technology requirements and training & support services

Finalize
- Receive audit report
- Respond to report
- Receive closure letter

Compliance Audit