

# **APPENDIX 1**

## **Enrollment Agreement**



UNIVERSITY OF NORTHWESTERN OHIO

Please send to: University of Northwestern Ohio, Attention: Admissions, 1441 North Cable Road, Lima, OH 45805

ENROLLMENT AGREEMENT

To apply online, visit: http://www.unoh.edu.

Phone Number: 419-998-3120 / Fax Number: 419-998-3139

PLEASE PRINT

Form with fields for NAME (First, Middle, Last, MAIDEN NAME, SEX), MAILING ADDRESS, CITY, STATE, ZIP, AREA CODE/PHONE NUMBER, BIRTHDATE, RESIDENCE COUNTY, FILING FOR FINANCIAL AID, SOCIAL SECURITY NUMBER, NAME OF HOME HIGH SCHOOL, CAREER CENTER, High School Diploma/GED, HAVE YOU ATTENDED ANOTHER COLLEGE?, Are you a U.S. citizen?, Ohio Resident, Have you ever been convicted of a felony?, Are you now, or have you ever been, a member of the military?, Student/Parent E-mail and Cell Phone.

Form with sections: ENTERING AS (New Applicant, Re-Enrolling, Last date of attendance, Non-Degree Seeking Student, Post-Secondary Option Student), APPLICATION FEE (Cash, Check, Credit Card), DORM REQUEST (Require campus housing, Do not require campus housing, Undecided), \$100 (non-refundable) housing deposit is due 60 days after acceptance date.

Form with sections: START DATE (College of Applied Technologies, January to November), PROJECTED COMPLETION DATE (Colleges of Business, Health Professions, & Occupational Professions, Business, Health Professions, Occupational Professions, Fall, Winter, Spring, Summer), Time Preference (Morning, Afternoon, Evening), Program of Study (Write program number below from reverse side), Delivery Method (Online), Program of Study (Write program number below from reverse side).

I hereby apply for enrollment in the program indicated. My application fee of \$20 is enclosed. The application fee will be fully refundable if the application is not accepted. I understand that I can request cancellation of the application within thirty days of the signature dated below and receive a full refund. After 30 days, the application fee is non-refundable. I hereby give permission to release my academic transcript to UNOH. I have received a copy of this agreement.

Date \_\_\_\_\_, 20\_\_\_\_ Applicant Signature X \_\_\_\_\_
Date \_\_\_\_\_, 20\_\_\_\_ Parent/Guardian Signature X \_\_\_\_\_

As the authorized representative of the University of Northwestern Ohio, I have interviewed the applicant and certify that in my judgment the application meets the requirements and standards of the University and recommend his/her acceptance.
By \_\_\_\_\_ (# \_\_\_\_\_) Approved \_\_\_\_\_
(Authorized Representative) (College Administrator)

Racial/Ethnic Background (Although optional, ethnic information is requested to fulfill reporting obligations to the federal government.)
 Black  American Indian or Alaskan Native  Asian  Other
 Hispanic  White  Hawaiian or Pacific Islander

The University of Northwestern Ohio admits students of any race, color, national and ethnic origin, gender identity, age, and sexual orientation to all the rights, privileges, programs, and activities generally accorded or made available to students at the University. It does not discriminate on the basis of race, color, national and ethnic origin in administration of its educational policies, admissions policies, scholarship and loan programs, and athletic and other school-administered programs.

The University of Northwestern Ohio may deny admission to any applicant for any reason not prohibited by law, including conviction of a crime or the fact that the applicant has been subject to discipline at another academic institution.

# PROGRAM OF STUDIES

## GRADUATE COLLEGE

80 Master of Business Administration

## COLLEGE OF BUSINESS

BACCALAUREATE PROGRAMS	ASSOCIATE PROGRAMS	
52 Accounting (4-year track) 81 Accounting - CPA (5-year track) 53 Business Administration 59 Business Administration - One-Night-a-Week 82 Forensic Accounting 83 Marketing  <p style="text-align: center;"><b>Business Administration Concentration in:</b></p> 56 Agribusiness Management 57 Automotive Management 55 Marketing	1 Accounting 3 Business Administration 60 Business Administration - One-Night-a-Week 4 Marketing	73 Undeclared Major ND Non-Degree Seeking

## COLLEGE OF HEALTH PROFESSIONS

BACCALAUREATE PROGRAMS	ASSOCIATE PROGRAMS	DIPLOMA PROGRAMS
54 Healthcare Administration (2+2)	17 Health Information Technology 20 Medical Office Management	76 Medical Coding 71 Medical Transcriptionist

## COLLEGE OF OCCUPATIONAL PROFESSIONS

BACCALAUREATE PROGRAMS	ASSOCIATE PROGRAMS	DIPLOMA PROGRAMS
61 Specialized Studies 74 Specialized Studies - One-Night-a-Week	45 Agribusiness Marketing/Management Technology 35 Legal Assisting 9 Office Management 62 Specialized Studies 16 Sport Marketing and Management 67 Travel & Hotel Management	41 Agribusiness Management 15 Executive Assistant 30 Paralegal 70 Travel and Hospitality 19 Word Processing Specialist

## COLLEGE OF APPLIED TECHNOLOGIES

BACCALAUREATE PROGRAMS	ASSOCIATE PROGRAMS	DIPLOMA PROGRAMS
90 Specialized - Automotive/Bus. Admin. 91 Specialized - Diesel/Bus. Admin. 92 Specialized - Auto/Diesel/Bus. Admin. 93 Specialized - Agricultural/Bus. Admin. 94 Specialized - High Performance/Bus. Admin. 95 Specialized - Auto/High Performance/ Bus. Admin. 96 Specialized - HVAC/Bus. Admin.	51 Agricultural Equipment Technology 22 Automotive Technology 24 Auto/Diesel Technology 77 Auto/High Performance Technology 33 Diesel Technology 49 High Performance Technology 50 HVAC/R Technology	39 Agricultural Equipment Technician 42 Auto/Alternate Fuels Technician 44 Diesel/Alternate Fuels Technician 21 Automotive Technician 23 Auto/Diesel Technician 78 Auto/High Performance Technician 31 Diesel Technician 37 High Performance Technician 43 HVAC/R Technician

Accredited By

The Higher Learning Commission of The North Central Association of Colleges and Schools (NCA)  
 30 North LaSalle Street - Suite 2400  
 Chicago, IL 60602  
 (312) 263-0456

# 2013 - 2014 SCHEDULE OF TUITION, FEES, AND OTHER CHARGES

## College of Applied Technologies

Program	No. of Sessions	Tuition	General Fee	Textbook Estimate	Other Program Costs Total	Grand Total
AAS - Automotive Technology	14	\$ 21,470.00	\$ 1,260.00	\$ 3,500.00	\$ 4,760.00	\$ 26,230.00
AAS - Diesel Technology	15	\$ 22,945.00	\$ 1,350.00	\$ 3,750.00	\$ 5,100.00	\$ 28,045.00
AAS - Auto/Diesel Technology	20	\$ 30,320.00	\$ 1,800.00	\$ 5,000.00	\$ 6,800.00	\$ 37,120.00
AAS - High Performance/Motorsports Technology	20	\$ 30,320.00	\$ 1,800.00	\$ 5,000.00	\$ 6,800.00	\$ 37,120.00
AAS - Automotive/High Performance Technology	22	\$ 33,270.00	\$ 1,980.00	\$ 5,500.00	\$ 7,480.00	\$ 40,750.00
AAS - Agricultural Equipment Technology	15	\$ 22,945.00	\$ 1,350.00	\$ 3,750.00	\$ 5,100.00	\$ 28,045.00
AAS - HVAC Technology	12	\$ 18,520.00	\$ 1,080.00	\$ 3,000.00	\$ 4,080.00	\$ 22,600.00
Diploma - Automotive Technician	11	\$ 16,635.00	\$ 990.00	\$ 2,750.00	\$ 3,740.00	\$ 20,375.00
Diploma - Diesel Technician	12	\$ 18,110.00	\$ 1,080.00	\$ 3,000.00	\$ 4,080.00	\$ 22,190.00
Diploma - Auto/Diesel Technician	17	\$ 25,485.00	\$ 1,530.00	\$ 4,250.00	\$ 5,780.00	\$ 31,265.00
Diploma - High Performance Motorsports Technician	17	\$ 25,485.00	\$ 1,530.00	\$ 4,250.00	\$ 5,780.00	\$ 31,265.00
Diploma - Automotive/High Performance Technician	19	\$ 28,435.00	\$ 1,710.00	\$ 4,750.00	\$ 6,460.00	\$ 34,895.00
Diploma - Agricultural Equipment Technician	13	\$ 19,585.00	\$ 1,170.00	\$ 3,250.00	\$ 4,420.00	\$ 24,005.00
Diploma - HVAC Technician	9	\$ 13,685.00	\$ 810.00	\$ 2,250.00	\$ 3,060.00	\$ 16,745.00
Diploma - Alternate Fuels Technician (Auto and Diesel)	13	\$ 19,585.00	\$ 1,170.00	\$ 3,250.00	\$ 4,420.00	\$ 24,005.00

## Colleges of Business, Health Professions, & Occupational Professions and the Graduate College

Program	Credit Hours	Virtual Tuition	Estimated Quarters	General Fee	Textbook Estimate	Other Program Costs Total	Grand Total
Master of Business Administration	48	\$ 26,400.00	6	\$ 900.00	\$ -	\$ 900.00	\$ 27,300.00
BS - Accounting	180	\$ 47,700.00	16	\$ 2,400.00	\$ 9,600.00	\$ 12,000.00	\$ 69,300.00
BS - Accounting - CPA Track	225	\$ 59,625.00	20	\$ 3,000.00	\$ 12,000.00	\$ 15,000.00	\$ 86,625.00
BS - Forensic Accounting	180	\$ 47,700.00	16	\$ 2,400.00	\$ 9,600.00	\$ 12,000.00	\$ 69,300.00
BS - Business Administration	180	\$ 47,700.00	16	\$ 2,400.00	\$ 9,600.00	\$ 12,000.00	\$ 69,300.00
BS - Business Administration with concentration in Agribusiness Management	206	\$ 54,590.00	18	\$ 2,700.00	\$ 10,800.00	\$ 13,500.00	\$ 78,890.00
BS - Business Administration with concentration in Automotive Management / Automotive Aftermarket	200	\$ 53,000.00	18	\$ 2,700.00	\$ 10,800.00	\$ 13,500.00	\$ 77,300.00
BS - Business Administration with concentration in Marketing	204	\$ 54,060.00	18	\$ 2,700.00	\$ 10,800.00	\$ 13,500.00	\$ 78,360.00
BS - Marketing	180	\$ 47,700.00	16	\$ 2,400.00	\$ 9,600.00	\$ 12,000.00	\$ 69,300.00
AAB - Accounting	108	\$ 28,620.00	6	\$ 900.00	\$ 3,600.00	\$ 4,500.00	\$ 36,720.00
AAB - Business Administration	108	\$ 28,620.00	6	\$ 900.00	\$ 3,600.00	\$ 4,500.00	\$ 36,720.00
AAB - Marketing	108	\$ 28,620.00	6	\$ 900.00	\$ 3,600.00	\$ 4,500.00	\$ 36,720.00
BS - Healthcare Administration	198	\$ 52,470.00	16	\$ 2,400.00	\$ 9,600.00	\$ 12,000.00	\$ 74,070.00
AAB - Health Information Technology	108	\$ 28,620.00	6	\$ 900.00	\$ 3,600.00	\$ 4,500.00	\$ 36,720.00
AAB - Medical Office Management	108	\$ 28,620.00	6	\$ 900.00	\$ 3,600.00	\$ 4,500.00	\$ 36,720.00
Diploma - Medical Coding	72	\$ 19,080.00	5	\$ 750.00	\$ 3,000.00	\$ 3,750.00	\$ 25,830.00
Diploma - Medical Transcriptionist	72	\$ 19,080.00	4	\$ 600.00	\$ 2,400.00	\$ 3,000.00	\$ 24,480.00
BS - Specialized Studies	198	\$ 52,470.00	16	\$ 2,400.00	\$ 9,600.00	\$ 12,000.00	\$ 74,070.00
AAB - Agribusiness Marketing/Management Technology	108	\$ 28,620.00	6	\$ 900.00	\$ 3,600.00	\$ 4,500.00	\$ 36,720.00
AAB - Legal Assisting	108	\$ 28,620.00	6	\$ 900.00	\$ 3,600.00	\$ 4,500.00	\$ 36,720.00
AAB - Office Management	108	\$ 28,620.00	6	\$ 900.00	\$ 3,600.00	\$ 4,500.00	\$ 36,720.00
AAB - Specialized Studies	108	\$ 28,620.00	6	\$ 900.00	\$ 3,600.00	\$ 4,500.00	\$ 36,720.00
AAB - Sport Marketing & Management	108	\$ 28,620.00	6	\$ 900.00	\$ 3,600.00	\$ 4,500.00	\$ 36,720.00
AAB - Travel & Hotel Management**	108	\$ 28,620.00	6	\$ 900.00	\$ 3,600.00	\$ 6,000.00	\$ 38,220.00
Diploma - Agribusiness Management	72	\$ 19,080.00	4	\$ 600.00	\$ 2,400.00	\$ 3,000.00	\$ 24,480.00
Diploma - Executive Assistant	72	\$ 19,080.00	4	\$ 600.00	\$ 2,400.00	\$ 3,000.00	\$ 24,480.00
Diploma - Paralegal	72	\$ 19,080.00	4	\$ 600.00	\$ 2,400.00	\$ 3,000.00	\$ 24,480.00
Diploma - Travel & Hospitality**	72	\$ 19,080.00	4	\$ 600.00	\$ 2,400.00	\$ 4,500.00	\$ 25,980.00
Diploma - Word Processing Specialist	72	\$ 19,080.00	4	\$ 600.00	\$ 2,400.00	\$ 3,000.00	\$ 24,480.00

\*\*Other Program Costs include lab fees of \$1,500.

**In compliance with Code Section 261B.9, the student has been informed of the location of the following information.**

The following items are located in the online University Catalog, located at the University's website, [www.unoh.edu](http://www.unoh.edu).

- The name or title of the course
- A brief description of the subject matter of the course
- The refund policy of the school for the return of the refundable portion of tuition, fees, or other charges. If refunds are not to be paid, the information shall state that fact.
- Whether the credential or certificate issued, awarded, or credited to a student upon completion of the course or the fact of completion of the course is applicable toward a degree granted by the school and, if so, under what circumstances the application will be made.
- The name of the accrediting agency recognized by the United States department of education or its successor agency which has accredited the school.

The tuition per credit hour is located online for each of the colleges. The links to the tuition pages for the College of Applied Technologies and online degrees are noted below. The total tuition cost is included on Page 3 of this enrollment agreement.

<http://www.unoh.edu/academics/college-of-applied-technologies/tuition.shtml>

<http://www.unoh.edu/academics/online-degrees/tuition.shtml>

I have been informed of the above items.

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Signature of Student

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Date

# **APPENDIX 2**

## **Accrediting Agency Documentation**

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## Currently or Previously Affiliated Institutions - 11/13/2013

The directory of institutions provides information on institutions accredited by the Commission, those holding candidate for accreditation status, and those that previously held status, but have since closed, merged, or had their status withdrawn. It includes the Statement of Affiliation Status and Organizational Profile for each currently accredited and candidate institution, any Public Disclosure Notices that have been issued, and the most recent action letters from reaffirmations of accreditation occurring after June 2013.

*Information provided on the Statement of Affiliation Status reflects the most recent actions of the Commission. The Commission has a multi-level decision process. Any institutional changes that are currently under review are not made public until final action has been taken.*

*\*\*During the transition to the new Pathways model for reaffirmation of accreditation, some scheduled events are not displayed on this version of the Statement of Affiliation Status. Institutions can refer to the transition maps in the Open and Standard Pathways booklets for the timing of reviews. Institutions that have questions about other scheduled events should contact their HLC staff liaison.\*\**

### University of Northwestern Ohio

1441 North Cable Road  
Lima, OH 45805-1498  
(419) 227-3141 (Main Phone)

<http://www.unoh.edu>

#### Statement of Affiliation Status [Click here for definitions...](#)

Chief Executive Officer: Dr. Jeffery Allen Jarvis, President

*Name change notes: Northwestern Business College-Technical Center to Northwestern College (6/1/90) to University of Northwestern Ohio (8/1/00);*

HLC Institution ID: 1657  
Current Accreditation Status: Accredited  
Accreditation Date(s): (1987- .)

#### Summary of Commission Review

Last Reaffirmation of Accreditation: 2005 - 2006

Next Reaffirmation of Accreditation: 2015 - 2016

Last Date of Information Change: 12/19/2011

Control: Private NFP  
Degrees Awarded (details below): Associates, Bachelors, Masters

#### Stipulations on Affiliation Status:

Bachelor's degree programs are limited to Health Care Administration, Accounting, Forensic Accounting, Accounting (CPA Track), and Business Administration with concentrations in Automotive Management, Marketing and Agribusiness Management, and Bachelor of Science degree programs in Specialized Studies and Marketing. Master's degree program is limited to the Master of Business Administration.

#### Approval of New Degree Locations:

Prior Commission approval required.

#### Approval of Distance and Correspondence Courses and Programs:

The institution has been approved under Commission policy to offer up to 100% of its total degree programs through distance education. The processes for expanding distance education are defined in other Commission documents.

#### Organizational Profile [Click here for definitions...](#)

Enrollment Headcount (last updated: 08/17/2013)

Undergraduate:	Full-Time 3,827	Part-Time 340
Graduate:	27	11
Dual enrollment (high school) programs:	0	

**Degree Programs (last updated: 08/17/2013)**

	Programs Offered	Degrees Awarded in Last Reported Year
Associate Degrees	24	1,016
Bachelors Degrees	7	146
Masters Degrees	1	14
Specialist Degrees	0	0
Doctoral Degrees	0	0

**Certificate Programs (last updated: 08/17/2013)**

	Programs Offered	Certificates Awarded in Last Reported Year
Certificates	0	323

**Off-Campus Activities (last updated: )**

In-State:	Campuses:	None.
	Additional Locations:	None.
Out-of-State:	Campuses:	None.
	Additional Locations:	None.
Out-of-U.S.:	Campuses:	None.
	Additional Locations:	None.

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About HLC	Accreditation	Policies & Statements	Document Library	HLC Institutions	Peer Review
<ul style="list-style-type: none"> <li><a href="#">History &amp; Background</a></li> <li><a href="#">Personnel &amp; Governance</a></li> <li><a href="#">Programs &amp; Services</a></li> <li><a href="#">External Relations</a></li> <li><a href="#">Employment Opportunities</a></li> </ul>	<ul style="list-style-type: none"> <li><a href="#">Overview</a></li> <li><a href="#">Criteria, Eligibility &amp; Candidacy</a></li> <li><a href="#">Pathways</a></li> <li><a href="#">PEAC</a></li> <li><a href="#">AQIP</a></li> <li><a href="#">Institutional Change</a></li> <li><a href="#">Monitoring &amp; Reporting</a></li> </ul>	<ul style="list-style-type: none"> <li><a href="#">Institutional Policies</a></li> <li><a href="#">Policy Updates</a></li> <li><a href="#">Federal Compliance</a></li> <li><a href="#">Position Statements</a></li> </ul>	<ul style="list-style-type: none"> <li><a href="#">Alpha Document List</a></li> <li><a href="#">Team Visit Guidelines, Templates &amp; Examples</a></li> <li><a href="#">Substantive Change Applications</a></li> <li><a href="#">Position Statements</a></li> </ul>	<ul style="list-style-type: none"> <li><a href="#">Directory</a></li> <li><a href="#">Accreditation Personnel</a></li> <li><a href="#">Institutional Actions</a></li> <li><a href="#">Visit List</a></li> <li><a href="#">Complaints</a></li> <li><a href="#">Public Disclosures</a></li> <li><a href="#">Mark of Affiliation</a></li> </ul>	<ul style="list-style-type: none"> <li><a href="#">Peer Review Team Resources</a></li> <li><a href="#">Peer Reviewer Application</a></li> <li><a href="#">Peer Reviewer Data Update System</a></li> </ul>

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# ACCREDITATION COUNCIL FOR BUSINESS SCHOOLS AND PROGRAMS

Bringing Together Those Dedicated to Teaching Excellence

May 10, 2013

Dr. Jeffrey A. Jarvis  
President  
University of Northwestern Ohio  
1441 North Cable Road  
Lima, Ohio 45805

Dear Dr. Jarvis:

Congratulations! The Board of Commissioners of the Baccalaureate/Graduate Degree Commission met on April 18-19, 2013, and granted initial accreditation to University of Northwestern Ohio with Notes and Opportunities for Improvement (OFIs) for your Baccalaureate/Graduate Degree business programs.

Conditions and notes indicate that either the Standard or Criteria is not fully met, and should be viewed as an opportunity to move your program to a higher level of excellence. Opportunities for improvement indicate that the Standard has been met, and is a suggestion to help move your processes from good to great. It would be extremely rare that a school receive accreditation without these conditions or notes given ACBSP's Core Value of Continuous Improvement and Organizational Learning, that "Business schools and programs should pursue regular cycles of planning, execution, and evaluation of every process and system. Ongoing improvement of these processes and systems leads to ever higher quality and student/stakeholder satisfaction." The Notes and OFIs placed on your programs are:

**OFI on Standard 1, Criterion 1.1.c:** During the self-study year administrators were evaluated and in the year following the self-study, the faculty evaluation methods were determined to be unsatisfactory and the entire evaluation process was revised. The Commission is looking forward to the outcomes of the transition to the IDEA evaluation process.

**OFI on Standard 2, Criterion 2.2a:** The Board of Commissioners looks forward to reviewing the TracDat data with the results for short- and long-term objectives.

**Note on Standard 3, Criterion 3.6, 3.7 and 3.8:** Although UNOH provides evidence of improvement efforts to seek information, determine student and key stakeholder satisfaction and dissatisfaction, these efforts were not apparent to the evaluator team nor was there evidence that improvements were made based on results of data obtained through quantitative methods. Subsequent to the site visit UNOH describes a robust system in development. The Commission anticipates graphs or tables of assessment results in the next Quality Assurance Report as well as descriptions of actions taken based on these results.

University of Northwestern Ohio  
May 10, 2013  
Page Two

**Note on Standard 4, Criterion 4.2 and 4.3:** UNOH has an exemplary historical commitment to student learning outcomes assessment and provides sources for external review of its performance and it is in the early stage of researching national benchmarking systems to provide comparative data for student learning outcomes. The Commission anticipates review of comparative data for student learning outcomes as well as improvements made from its learning outcomes assessment results in the next Quality Assurance Report.

Progress on notes must be reported in future Quality Assurance Reports; it is not necessary to report on opportunities for improvement (OFIs). You are encouraged to work with Commissioner Tina Shoemaker on the removal of the notes and conditions. Commissioner Shoemaker may be contacted by phone at: 253-649-0216, or through her e-mail address at: [tinashoe@me.com](mailto:tinashoe@me.com). You may also contact Dr. Ron DeYoung, Executive Liaison, Baccalaureate/Graduate Degree Commission, at 816-695-9585, or by email at [rdeyoung1@kc.rr.com](mailto:rdeyoung1@kc.rr.com). Your first Quality Assurance Report will be due on 2/15/2015, and every two years after that. Your ten-year reaffirmation will be due in 2023.

ACBSP will inform the public of decisions on accreditation status made by the Boards of Commissioners by posting the accreditation decisions on the ACBSP Gateway. The decisions on accreditation status can be accessed from the following link: [Accreditation Decisions](#) and will appear as the following:

**University of Northwestern Ohio**

Initial Accreditation with improvement opportunities in the following standards:  
Standard #3 Student and Stakeholder Focus  
Standard #4 Measurement and Analysis of Student Learning and Performance

ACBSP encourages you to publicly announce that your business programs are accredited. Next week, we will be sending you, via e-mail, a sample ACBSP Press Release and ACBSP Logo files for publicizing your accreditation. As you prepare these materials, the following is your official ACBSP statement:

**The following business programs at University of Northwestern Ohio are accredited by the Accreditation Council for Business Schools and Programs:**

**Business Administration with concentrations in Agribusiness Management,  
Automotive Management/Automotive Aftermarket, and Marketing (BS)  
Master of Business Administration (MBA)**

Please take this opportunity to review the institution name as it will appear on your Certificate of Accreditation. If this is not correct, please notify Diana Hallerud via email at [dianahallerud@acbsp.org](mailto:dianahallerud@acbsp.org) and provide the correction by May 17, 2013.

**Name of institution as it will appear on the certificate:  
University of Northwestern Ohio  
Lima, Ohio**

University of Northwestern Ohio  
May 10, 2013  
Page Three

Please mark your calendar to join us in Salt Lake City, Utah, where we will honor you and all other schools receiving initial or reaffirmation of accreditation during the 2012-2013 membership year. You are encouraged to attend along with your Chief Academic Officer and Dean or Head of the Business School or Program. Many institutions invite many of the faculty to this prestigious celebration. Your institution will also be announced during the Baccalaureate/Graduate Degree Institution meeting held on Saturday, June 22, 2013 at 4:00 pm. There is a breakfast on Sunday morning June 23, 2013, at 7:45 a.m. for those institutions that are receiving accreditation.

The purpose of the breakfast is to more personally congratulate the institutional representatives and to outline the procedures that will be followed at the accreditation banquet. At least one institutional representative should attend the breakfast.

In addition to the breakfast, a professional photographer will be available on Sunday, June 23, 2013 to photograph all institutional representatives along with the ACBSP Director of Accreditation, Assistant Director of Accreditation, and the Chair of the Baccalaureate/Graduate Degree Board of Commissioners. **Baccalaureate/Graduate Degree Institutions beginning with M - Z will be photographed from 6:10 to 6:30 p.m.** Appropriate dress for the photo session and banquet is business professional.

The 2013 conference will be June 21-24 in Salt Lake City and our host hotel will be at the Marriott Salt Lake City Downtown. Updated information is always available by going to ACBSP Gateway, [www.acbsp.org](http://www.acbsp.org). The 2013 conference theme will be, "Sustainability and Corporate Responsibility in the Classroom."

Online registration is available at <http://www.acbsp.org/2013AnnualConference>.

Congratulations on maintaining such a high quality business program.

Sincerely,



Steve Parscale  
Director of Accreditation

Enclosures

c: Dr. Cheryl Mueller, Vice President for Academic Affairs/Provost  
Mr. Dean Hobler, Dean, College of Business  
Ms. Tina Shoemaker, Baccalaureate/Graduate Degree Commissioner

From: [george.payan@cahiim.org](mailto:george.payan@cahiim.org) <[george.payan@cahiim.org](mailto:george.payan@cahiim.org)>  
Sent: Friday, September 13, 2013 12:03 PM  
To: Evans, Jennifer  
Cc: [benjamin.reed@cahiim.org](mailto:benjamin.reed@cahiim.org)  
Subject: CAHIIM Candidacy Status: University of Northwestern Ohio, Lima, OH

Dear Ms. Evans:

This message is to confirm your program's CAHIIM Candidacy Status. The program has been assigned an Educational Program Code (EPC) of # 825.

Disclosure Statement for CAHIIM Candidate programs: It is required that programs use the following statement on web based and other published announcements regarding CAHIIM Candidacy Status:

The HIM/HI (indicate degree level) program is in Candidacy Status, pending accreditation review by the Commission on Accreditation for Health Informatics and Information Management Education (CAHIIM).

All necessary help, associated forms and the System HELP Manual are available at [http://cahiim.org/cas\\_system\\_resources.html](http://cahiim.org/cas_system_resources.html).

Please access these resources before completing the Self-Assessment stage under the Standards Tab. This next system phase of the CAS process will be available to you when you log back in.

In the interim, you will be sent an invoice for the Candidacy Status Processing Fee.

Please contact me with any questions you might have regarding the CAHIIM Accreditation System (CAS). You may also contact CAHIIM Staff by forwarding your questions through the Q&A functionality in the Self-Assessment process under each Standard.

Thank you for your interest in the CAHIIM accreditation process.

Sincerely,

George J. Payan  
Accreditation Operations Manager  
CAHIIM

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1361 Park Street  
Clearwater, FL 33756  
Phone: 727-210-2350 / Fax: 727-210-2354  
www.caahep.org



September 22, 2008

Jeffrey A. Jarvis, LLD  
President  
University of Northwestern Ohio  
1441 N Cable Rd  
Lima, OH 45805-1409

Dear President Jarvis:

The Commission on Accreditation of Allied Health Education Programs (CAAHEP) is pleased to inform you of its vote on **September 19, 2008** to award **continuing accreditation** to the University of Northwestern Ohio Associate Degree medical assisting program in Lima, Ohio.

The recent peer review conducted by the Medical Assisting Education Review Board (MAERB) and the Commission's Board of Directors recognizes the program's substantial compliance with the nationally established accreditation standards. The next comprehensive evaluation of the program, including an on-site review, is scheduled to occur no later than March **2018**.

The accreditation standards are established by CAAHEP and the American Association of Medical Assistants and American Medical Association.

The commission recognizes you and your colleagues for your commitment to continuous quality improvement in education, as demonstrated by your participation in program accreditation.

Sincerely,

A handwritten signature in black ink, appearing to read 'William Horgan', with a horizontal line extending to the right.

William Horgan  
President

Cc: Dean Hobler, MEd, Dean, College of Business  
Julie A. Shellenbarger, MBA, RHIA, Medical Assisting Program Director  
Eugenia Mills Fulcher, RN, BSN, EdD, CMA (AAMA), MAERB Chair  
Joyce M. Hardee, CMA-A (AAMA), MAERB Vice-Chair  
Judy A. Jondahl, MS, RN, Director of MAERB  
Donald A. Balasa, JD, MBA, Executive Director and Legal Counsel

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Commission on Accreditation of Allied Health Education Programs

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# **APPENDIX 3**

## **Financial Aid Program Participation Agreement**



FEDERAL STUDENT AID  START HERE. GO FURTHER.™

**UNITED STATES DEPARTMENT OF EDUCATION**

FEDERAL STUDENT AID  
SCHOOL ELIGIBILITY CHANNEL  
SCHOOL PARTICIPATION TEAM  
CHICAGO TEAM

Dr. Jeffrey A. Jarvis  
President  
University of Northwestern Ohio  
1441 North Cable Road  
Lima, OH 45805-1498

08/06/2012

**OPE ID 00486100**

Dear Dr. Jarvis:

The Chicago School Participation Team is pleased to inform you that, based upon the information included in your Application for Approval to Participate in Federal Student Financial Aid Programs, the Secretary of Education (Secretary) has determined that University of Northwestern Ohio (Institution) satisfies the definition of an eligible institution under the Higher Education Act of 1965, as amended (HEA). University of Northwestern Ohio will be listed in the next edition of the Directory of Postsecondary Institutions published by the U.S. Department of Education (Department).

**OPE ID NUMBER**

The OPE ID Number 00486100 is a unique identifier for the Institution. The OPE ID Number will also be the Institution's

identification number for the Title IV, HEA programs. Please use the OPE ID Number in all communications with the Department.

## ELIGIBILITY AND CERTIFICATION APPROVAL REPORT

Please print a copy of the **Eligibility and Certification Approval Report (ECAR)** Together, the **Program Participation Agreement (PPA)** that has been signed on behalf of the Secretary and the ECAR constitute the Chicago School Participation Team's determination that the Institution has qualified to participate in programs under the Higher Education Act of 1965, as amended (HEA) and the Federal student financial assistance programs (Title IV, HEA programs).

The Institution must retain the ECAR and the PPA together.

The ECAR contains the most critical of the data elements that form the basis of the Institution's approval, and also a list of the highest level of offering, any nondegree or short term training programs, and any additional locations that provide 50 percent or more of an educational program that have been approved for the Title IV, HEA programs. The Institution may not award, distribute or disburse any Title IV, HEA program funds for any educational or training program that is beyond the scope of the approval contained in the ECAR, nor for any additional location providing 50 percent or more of an educational program that has not been approved and is not listed on the ECAR.

- In order to comply with the requirements of 34 CFR 668.8(1), some vocational or nondegree programs may have been approved for fewer credit hours than requested in the Institution's application.
- Vocational and nondegree programs that do not meet the requirements of 34 CFR Parts 600 and 668 have not been approved and are marked in the ECAR as not approved.
- The listing of Vocational Programs in the ECAR contains those nondegree programs that the Chicago School Participation Team has determined are eligible programs for participation in the Title IV, HEA programs.
- The ECAR contains a list of HEA programs other than Title IV, HEA programs, for which the Institution is eligible to apply. This list does not mean that the Institution will automatically be eligible to participate in or receive funds under any HEA competitive grant program. Information concerning applications for, and the individual requirements of, the competitive grant program can be obtained from:

Deputy Assistant Secretary  
Office of Higher Education Programs  
U.S. Department of Education  
400 Maryland Avenue, S.W.

## PROGRAM PARTICIPATION AGREEMENT

The PPA contains the agreement between the Institution and the Secretary concerning the Institution's participation in the Federal student financial assistance programs (Title IV, HEA programs).

## CERTIFICATION FOR TITLE IV, HEA PROGRAMS

As explained in the PPA, Title IV, HEA programs administered by participating educational institutions are subject to applicable laws, regulations, and guidelines. Listed below are the appropriate telephone numbers for further information on the HEA programs:

- Federal Pell Grant Program (800) 474-7268
- Federal Family Education Loan Program (202) 377-4008
- Federal Direct Student Loan Program (800) 848-0978

If the Institution wishes to begin participating in the Direct Loan Program or to request a change in its funding method, contact COD School Relations at the Federal Direct Student Loan Program number above or send an email to [codsupport@acs-inc.com](mailto:codsupport@acs-inc.com)

- Federal Campus-Based Programs (877) 801-7168

The Federal Campus-Based Programs are (a) the Federal Supplemental Educational Opportunity Grant Program, (b) the Federal Work-Study Program, and (c) the Federal Perkins Loan Program. To obtain funding under any or all of these programs, the Institution must file the Fiscal Operations Report and Application to Participate (FISAP) annually. FISAP packages are typically available at the end of July each year and the due date for electronic submission of this data is generally a postmark or transmission date of October 1. Please keep in mind that the October 1 submission is to obtain funding for the Award Year that begins the following July 1.

If the Institution does not already participate in the Title IV, HEA programs, the Institution must complete Fundamentals of Title IV Administration (Precertification) Training no later than 12 months after the Institution executed the PPA. Completion of this training must be not earlier than one year before beginning to participate in any Title IV, HEA program for which the Institution has not previously participated. If you wish to register for Fundamentals of Title IV Administration (Precertification) Training, please register at <http://www.register123.com/event/profile/web/index.cfm?PKwebID=0x112117625&varPage=info>. For information concerning the training, contact the Chicago Team at the telephone number listed later in this letter.

Participating educational institutions will be reviewed at least once every six years to determine whether the institutions remain administratively capable and financially responsible to administer Title IV programs and funds.

## REPORTING AND REAPPLICATION REQUIREMENTS

The Institution must report promptly to the Department certain changes and actions that affect the Institution's participation approval, as specified in 34 CFR 600 and 668, including, but not limited to:

- Change of name and/or address;
- New contract or significant modification of existing contract with a third party servicer;
- Change in exercise of a person's substantial control over the Institution, e.g., a change in the chief executive officer or members of the board of trustees or board of directors.
- Change in the way the Institution measures educational program length;
- Change in the level of course offerings;
- Additions and/or closures of non-main campus locations that offer at least 50% of an educational program;
- Change of accrediting agency;
- Change of the State agency that confers legal authority on the Institution to offer programs of postsecondary education; or
- Change in ownership *whether or not* that ownership change results in a change in control of the Institution.

If the Institution fails to report any such changes within ten days after the change occurs, the ability of the Institution to administer the Title IV student financial assistance programs properly will be called into question. As a consequence, we will consider whether it is necessary to monitor the Institution's receipt of Federal funds more closely. Failure to report changes within the time frame required may also result in an adverse action being taken against the Institution in accordance with 34 CFR 668, Subpart G.

## Automatic Termination of Approval

This Approval for Institutional Participation automatically terminates on the happening of any of the following events:

- June 30, 2018
- The date the Institution loses the legal authority to offer programs of postsecondary education in the State in which it is located;
- The date the Institution loses accreditation from its designated primary accrediting agency;
- The date the Institution ceases to offer all approved postsecondary instruction;

- The date the Institution merges with another institution;
- The date the Institution undergoes a change in ownership resulting in a change of control;
- The date the Institution files for bankruptcy; or
- The date the Institution otherwise ceases to meet the definition of an eligible institution of higher education.

Please send all information or documentation required by this letter to:

United States Department of Education  
 Federal Student Aid, Schools Channel  
 Attention: Chicago School Participation Team  
 500 West Madison  
 Room 1576  
 Chicago, IL 60661

One of the institutional eligibility requirements is that the institution must admit as regular students only persons who have a high school diploma; have the recognized equivalent of a high school diploma; or are beyond the age of compulsory school attendance in the State in which the institution is physically located (see 34 CFR 600.4, 5 or 6). This means if the student is not yet beyond the age of compulsory school attendance in the State in which the institution is physically located, the institution can only enroll the individual as a regular student if he or she has a high school diploma or its equivalent.

One of the student eligibility requirements is that an eligible student is one who is not enrolled in either an elementary or secondary school (see 34 CFR 668.32). This means that an institution cannot accept as a regular student at this school, an individual who is also enrolled at the same time in elementary or high school.

The telephone number for the Chicago Team is (312) 730-1511. The fax number is (312) 730-1520.

Sincerely,



Douglas Parrott  
 Area Case Director  
 School Participation Team, NW

Chicago Team

cc: Mr. Wendell A. Schick, Director of Financial Aid  
North Central Association of Colleges and Schools - CIHE (Higher Educ)  
Guarantee Agency  
OH Board of Regents



FEDERAL STUDENT AID **START HERE. GO FURTHER.™**

**UNITED STATES DEPARTMENT OF EDUCATION**

**FEDERAL STUDENT AID  
SCHOOL ELIGIBILITY CHANNEL**

**PROGRAM PARTICIPATION AGREEMENT**

Effective Date of Approval: The date on which this Agreement is signed on behalf of the Secretary of Education

Approval Expiration Date: **June 30, 2018**

Reapplication Date: **March 31, 2018**

Name of Institution: **University of Northwestern Ohio**

Address of Institution: **1441 North Cable Road  
Lima, OH 45805-1498**

OPE ID Number: **00486100**

DUNS Number: **077566065**

Taxpayer Identification Number (TIN): **341695897**

**The execution of this Agreement by the Institution and the Secretary is a prerequisite to the Institution's initial or continued participation in any Title IV, HEA Program.**

The postsecondary educational institution listed above, referred to hereafter as the "Institution," and the United States Secretary of Education, referred to hereafter as the "Secretary," agree that the Institution may participate in those student financial assistance programs authorized by Title IV of the Higher Education Act of 1965, as amended (Title IV, HEA Programs) indicated under this Agreement and further agrees that such participation is subject to the terms and conditions set forth in this Agreement. As used in this Agreement, the term "Department" refers to the U.S. Department of Education.

### SCOPE OF COVERAGE

This Agreement applies to all locations of the Institution as stated on the most current **ELIGIBILITY AND CERTIFICATION APPROVAL REPORT** issued by the Department. This Agreement covers the Institution's eligibility to participate in each of the following listed Title IV, HEA programs, and incorporates by reference the regulations cited.

- **FEDERAL PELL GRANT PROGRAM**, 20 U.S.C. §§ 1070a *et seq.*; 34 C.F.R. Part 690.
- **FEDERAL FAMILY EDUCATION LOAN PROGRAM**, 20 U.S.C. §§ 1071 *et seq.*; 34 C.F.R. Part 682.
- **FEDERAL DIRECT STUDENT LOAN PROGRAM**, 20 U.S.C. §§ 1087a *et seq.*; 34 C.F.R. Part 685.
- **FEDERAL PERKINS LOAN PROGRAM**, 20 U.S.C. §§ 1087aa *et seq.*; 34 C.F.R. Part 674.
- **FEDERAL SUPPLEMENTAL EDUCATIONAL OPPORTUNITY GRANT PROGRAM**, 20 U.S.C. §§ 1070b *et seq.*; 34 C.F.R. Part 676.
- **FEDERAL WORK-STUDY PROGRAM**, 42 U.S.C. §§ 2751 *et seq.*; 34 C.F.R. Part 675.
- **ACADEMIC COMPETITIVENESS GRANT AND NATIONAL SCIENCE AND MATHEMATICS ACCESS TO RETAIN TALENT GRANT PROGRAMS**, 20 U.S.C. §§ 1070a-1 *et seq.*; 34 C.F.R. Part 691.
- **IRAQ AND AFGHANISTAN SERVICE GRANT**, 20 U.S.C. §§ 1070d *et seq.*

## GENERAL TERMS AND CONDITIONS

1. The Institution understands and agrees that it is subject to and will comply with the program statutes and implementing regulations for institutional eligibility as set forth in 34 C.F.R. Part 600 and for each Title IV, HEA program in which it participates, as well as the general provisions set forth in Part F and Part G of Title IV of the HEA, and the Student Assistance General Provisions regulations set forth in 34 C.F.R. Part 668.

***The recitation of any portion of the statute or regulations in this Agreement does not limit the Institution's obligation to comply with other applicable statutes and regulations.***

2.
  - a. The Institution certifies that on the date it signs this Agreement, it has a drug abuse prevention program in operation that it has determined is accessible to any officer, employee, or student at the Institution.
  - b. The Institution certifies that on the date it signs this Agreement, it is in compliance with the disclosure requirements of Section 485(f) of the HEA (Campus Security Policy and Campus Crime Statistics).
3. The Institution agrees to comply with --
  - a. Title VI of the Civil Rights Act of 1964, as amended, and the implementing regulations, 34 C.F.R. Parts 100 and 101 (barring discrimination on the basis of race, color or national origin);
  - b. Title IX of the Education Amendments of 1972 and the implementing regulations, 34 C.F.R. Part 106 (barring discrimination on the basis of sex);
  - c. The Family Educational Rights and Privacy Act of 1974 and the implementing regulations, 34 C.F.R. Part 99;
  - d. Section 504 of the Rehabilitation Act of 1973 and the implementing regulations, 34 C.F.R. Part 104 (barring discrimination on the basis of physical handicap); and
  - e. The Age Discrimination Act of 1975 and the implementing regulations, 34 C.F.R. Part 110.
  - f. The Standards for Safeguarding Customer Information, 16 C.F.R. Part 314, issued by the Federal Trade Commission (FTC), as required by the Gramm-Leach-Bliley (GLB) Act, P.L. 106-102. These Standards are intended to ensure the security and confidentiality of customer records and information. The Secretary considers any breach to the security of student records and information as a demonstration of a potential lack of administrative capability as stated in 34 C.F.R. 668.16(c). Institutions are strongly encouraged to inform its students and the Department of any such breaches.
4. The Institution acknowledges that 34 C.F.R. Parts 602 and 667 require accrediting agencies, State regulatory bodies, and the Secretary to share information about institutions. The Institution agrees that the Secretary, any accrediting agency recognized by the Secretary, and any State regulatory body may share or report information to one another about the Institution without limitation.

5. The Institution acknowledges that the HEA prohibits the Secretary from recognizing the accreditation of any institution of higher education unless that institution agrees to submit any dispute involving the final denial, withdrawal, or termination of accreditation to initial arbitration prior to any other legal action.

**SELECTED PROVISIONS FROM  
GENERAL PROVISIONS REGULATIONS, 34 C.F.R. PART 668.14**

An institution's program participation agreement applies to each branch campus and other location of the institution that meets the applicable requirements of this part unless otherwise specified by the Secretary.

(b) By entering into a program participation agreement, an institution agrees that--

- (1) It will comply with all statutory provisions of or applicable to Title IV of the HEA, all applicable regulatory provisions prescribed under that statutory authority, and all applicable special arrangements, agreements, and limitations entered into under the authority of statutes applicable to Title IV of the HEA, including the requirement that the institution will use funds it receives under any Title IV, HEA program and any interest or other earnings thereon, solely for the purposes specified in and in accordance with that program;
- (2) As a fiduciary responsible for administering Federal funds, if the institution is permitted to request funds under a Title IV, HEA program advance payment method, the institution will time its requests for funds under the program to meet the institution's immediate Title IV, HEA program needs;
- (3) It will not request from or charge any student a fee for processing or handling any application, form, or data required to determine a student's eligibility for, and amount of, Title IV, HEA program assistance;
- (4) It will establish and maintain such administrative and fiscal procedures and records as may be necessary to ensure proper and efficient administration of funds received from the Secretary or from students under the Title IV, HEA programs, together with assurances that the institution will provide, upon request and in a timely manner, information relating to the administrative capability and financial responsibility of the institution to--
  - (i) The Secretary;
  - (ii) A guaranty agency, as defined in 34 CFR part 682, that guarantees loans made under the Federal Stafford Loan and Federal PLUS programs for attendance at the institution or any of the institution's branch campuses or other locations;
  - (iii) The nationally recognized accrediting agency that accredits or preaccredits the institution or any of the institution's branch campuses, other locations, or educational programs;
  - (iv) The State agency that legally authorizes the institution and any branch campus or other location of the institution to provide postsecondary education; and
  - (v) In the case of a public postsecondary vocational educational institution that is approved by a State agency recognized for the

- approval of public postsecondary vocational education, that State agency;
- (5) It will comply with the provisions of § 668.15 relating to factors of financial responsibility;
  - (6) It will comply with the provisions of § 668.16 relating to standards of administrative capability;
  - (7) It will submit reports to the Secretary and, in the case of an institution participating in the Federal Stafford Loan, Federal PLUS, or the Federal Perkins Loan Program, to holders of loans made to the institution's students under that program at such times and containing such information as the Secretary may reasonably require to carry out the purpose of the Title IV, HEA programs;
  - (8) It will not provide any statement or certification to any lender in the case of an FFEL Program loan, or origination record to the Secretary in the case of a Direct Loan Program loan that qualifies the student or parent for a loan or loans in excess of the amount that the student or parent is eligible to borrow in accordance with sections 425(a), 428(a)(2), 428(b)(1)(A) and (B), 428B, 428H and 455(a) of the HEA;
  - (9) It will comply with the requirements of Subpart D of this part concerning institutional and financial assistance information for students and prospective students;
  - (10) In the case of an institution that advertises job placement rates as a means of attracting students to enroll in the institution, it will make available to prospective students, at or before the time that those students apply for enrollment--
    - (i) The most recent available data concerning employment statistics, graduation statistics, and any other information necessary to substantiate the truthfulness of the advertisements; and
    - (ii) Relevant State licensing requirements of the State in which the institution is located for any job for which an educational program offered by the institution is designed to prepare those prospective students;
  - (11) In the case of an institution participating in the FFEL Program, the institution will inform all eligible borrowers, as defined in 34 CFR part 682, enrolled in the institution about the availability and eligibility of those borrowers for State grant assistance from the State in which the institution is located, and will inform borrowers from another State of the source for further information concerning State grant assistance from that State;
  - (12) It will provide the certifications described in paragraph (c) of this section;
  - (13) In the case of an institution whose students receive financial assistance pursuant to section 484(d) of the HEA, the institution will make available to those students a program proven successful in assisting students in obtaining the recognized equivalent of a high school diploma;
  - (14) It will not deny any form of Federal financial aid to any eligible student solely on the grounds that the student is participating in a program of study abroad approved for credit by the institution;
  - (15) (i) Except as provided under paragraph (b)(15)(ii) of this section, the institution will use a default management plan approved by the Secretary with regard to its administration of the FFEL or Direct Loan programs, or both for at least the first two years of its participation in those programs, if the institution --

- (A) Is participating in the FFEL or Direct Loan programs for the first time; or
- (B) Is an institution that has undergone a change of ownership that results in a change in control and is participating in the FFEL or Direct Loan programs.
- (ii) The institution does not have to use an approved default management plan if --
  - (A) The institution, including its main campus and any branch campus, does not have a cohort default rate in excess of 10 percent; and
  - (B) The owner of the institution does not own and has not owned any other institution that had a cohort default rate in excess of 10 percent while that owner owned the institution.
- (16) For a proprietary institution, the institution will derive at least 10 percent of its revenues for each fiscal year from sources other than Title IV, HEA program funds, as provided in § 668.28(a) and (b), or be subject to sanctions described in § 668.28(c);
- (17) The Secretary, guaranty agencies and lenders as defined in 34 CFR part 682, nationally recognized accrediting agencies, the Secretary of Veterans Affairs, State agencies recognized under 34 CFR part 603 for the approval of public postsecondary vocational education, and State agencies that legally authorize institutions and branch campuses or other locations of institutions to provide postsecondary education, have the authority to share with each other any information pertaining to the institution's eligibility for or participation in the Title IV, HEA programs or any information on fraud and abuse;
- (18) It will not knowingly --
  - (i) Employ in a capacity that involves the administration of the Title IV, HEA programs or the receipt of funds under those programs, an individual who has been convicted of, or has pled *nolo contendere* or guilty to, a crime involving the acquisition, use, or expenditure of Federal, State, or local government funds, or has been administratively or judicially determined to have committed fraud or any other material violation of law involving Federal, State, or local government funds;
  - (ii) Contract with an institution or third-party servicer that has been terminated under section 432 of the HEA for a reason involving the acquisition, use, or expenditure of Federal, State, or local government funds, or that has been administratively or judicially determined to have committed fraud or any other material violation of law involving Federal, State, or local government funds; or
  - (iii) Contract with or employ any individual, agency, or organization that has been, or whose officers or employees have been--
    - (A) Convicted of, or pled *nolo contendere* or guilty to, a crime involving the acquisition, use, or expenditure of Federal, State, or local government funds; or
    - (B) Administratively or judicially determined to have committed fraud or any other material violation of law involving Federal, State, or local government funds;
- (19) It will complete, in a timely manner and to the satisfaction of the Secretary, surveys conducted as a part of the Integrated Postsecondary Education Data System (IPEDS) or any other Federal collection effort, as designated by the Secretary, regarding data on postsecondary institutions;
- (20) In the case of an institution that is co-educational and has an intercollegiate athletic program, it will comply with the provisions of

§ 668.48;

(21) It will not impose any penalty, including, but not limited to, the assessment of late fees, the denial of access to classes, libraries, or other institutional facilities, or the requirement that the student borrow additional funds for which interest or other charges are assessed, on any student because of the student's inability to meet his or her financial obligations to the institution as a result of the delayed disbursement of the proceeds of a Title IV, HEA program loan due to compliance with statutory and regulatory requirements of or applicable to the Title IV, HEA programs, or delays attributable to the institution;

(22)(i) It will not provide any commission, bonus, or other incentive payment based in any part, directly or indirectly, upon success in securing enrollments or the award of financial aid, to any person or entity who is engaged in any student recruitment or admission activity, or in making decisions regarding the award of title IV, HEA program funds.

(A) The restrictions in paragraph (b)(22) of this section do not apply to the recruitment of foreign students residing in foreign countries who are not eligible to receive Federal student assistance.

(B) For the purpose of paragraph (b)(22) of this section, an employee who receives multiple adjustments to compensation in a calendar year and is engaged in any student enrollment or admission activity or in making decisions regarding the award of title IV, HEA program funds is considered to have received such adjustments based upon success in securing enrollments or the award of financial aid if those adjustments create compensation that is based in any part, directly or indirectly, upon success in securing enrollments or the award of financial aid.

(ii) Notwithstanding paragraph (b)(22)(i) of this section, eligible institutions, organizations that are contractors to eligible institutions, and other entities may make--

(A) Merit-based adjustments to employee compensation provided that such adjustments are not based in any part, directly or indirectly, upon success in securing enrollments or the award of financial aid; and

(B) Profit-sharing payments so long as such payments are not provided to any person or entity engaged in student recruitment or admission activity or in making decisions regarding the award of title IV, HEA program funds.

(iii) As used in paragraph (b)(22) of this section,

(A) *Commission, bonus, or other incentive payment* means a sum of money or something of value, other than a fixed salary or wages, paid to or given to a person or an entity for services rendered.

(B) *Securing enrollments or the award of financial aid* means activities that a person or entity engages in at any point in time through completion of an educational program for the purpose of the admission or matriculation of students for any period of time or the award of financial aid to students.

(1) These activities include contact in any form with a prospective student, such as, but not limited to--contact through preadmission or advising activities, scheduling an appointment to visit the enrollment office or any other office of the institution, attendance at such an appointment, or involvement in a prospective student's signing of an enrollment agreement or financial aid application.

- (2) These activities do not include making a payment to a third party for the provision of student contact information for prospective students provided that such payment is not based on--
- (i) Any additional conduct or action by the third party or the prospective students, such as participation in preadmission or advising activities, scheduling an appointment to visit the enrollment office or any other office of the institution or attendance at such an appointment, or the signing, or being involved in the signing, of a prospective student's enrollment agreement or financial aid application; or
- (ii) The number of students (calculated at any point in time of an educational program) who apply for enrollment, are awarded financial aid, or are enrolled for any period of time, including through completion of an educational program.
- (C) *Entity or person engaged in any student recruitment or admission activity or in making decisions about the award of financial aid means--*
- (1) With respect to an entity engaged in any student recruitment or admission activity or in making decisions about the award of financial aid, any institution or organization that undertakes the recruiting or the admitting of students or that makes decisions about and awards title IV, HEA program funds; and
- (2) With respect to a person engaged in any student recruitment or admission activity or in making decisions about the award of financial aid, any employee who undertakes recruiting or admitting of students or who makes decisions about and awards title IV, HEA program funds, and any higher level employee with responsibility for recruitment or admission of students, or making decisions about awarding title IV, HEA program funds.
- (D) *Enrollment* means the admission or matriculation of a student into an eligible institution.
- (23) It will meet the requirements established pursuant to Part H of Title IV of the HEA by the Secretary and nationally recognized accrediting agencies;
- (24) It will comply with the requirements of § 668.22;
- (25) It is liable for all--
- (i) Improperly spent or unspent funds received under the Title IV, HEA programs, including any funds administered by a third-party servicer; and
- (ii) Returns any title IV, HEA program funds that the institution or its servicer may be required to make;
- (26) If the stated objectives of an educational program of the institution are to prepare a student for gainful employment in a recognized occupation, the institution will--
- (i) Demonstrate a reasonable relationship between the length of the program and entry level requirements for the recognized occupation for which the program prepares the student. The Secretary considers the relationship to be reasonable if the number of clock hours provided in the program does not exceed by more than 50 percent the minimum number of clock hours required for training in the recognized occupation for which the program prepares the student, as established by the State in which the program is

- offered, if the State has established such a requirement, or as established by any Federal agency; and
- (ii) Establish the need for the training for the student to obtain employment in the recognized occupation for which the program prepares the student.
- (27) In the case of an institution participating in a Title IV, HEA loan program, the institution --
- (i) Will develop, publish, administer, and enforce a code of conduct with respect to loans made, insured or guaranteed under the Title IV, HEA loan programs in accordance with 34 CFR 601.21; and
- (ii) Must inform its officers, employees, and agents with responsibilities with respect to loans made, insured or guaranteed under the Title IV, HEA loan programs annually of the provisions of the code required under paragraph (b)(27) of this section;
- (28) For any year in which the institution has a preferred lender arrangement (as defined in 34 CFR 601.2(b)), it will at least annually compile, maintain, and make available for students attending the institution, and the families of such students, a list in print or other medium, of the specific lenders for loans made, insured, or guaranteed under Title IV, of the HEA or private education loans that the institution recommends, promotes, or endorses in accordance with such preferred lender arrangement. In making such a list, the institution must comply with the requirements in 34 CFR 682.212(h) and 34 CFR 601.10;
- (29) (i) It will, upon the request of an enrolled or admitted student who is an applicant for a private education loan (as defined in 34 CFR part 601.2(b)), provide to the applicant the self-certification form required under 34 CFR 601.11(d) and the information required to complete the form, to the extent the institution possesses such information, including --
- (A) The applicant's cost of attendance at the institution, as determined by the institution under part F of Title IV, of the HEA;
- (B) The applicant's estimated financial assistance, including amounts of financial assistance used to replace the expected family contribution as determined by the institution in accordance with Title IV, for students who have completed the Free Application for Federal Student Aid; and
- (C) The difference between the amounts under paragraphs (b)(29)(i)(A) and (29)(i)(B) of this section, as applicable.
- (ii) It will, upon the request of the applicant, discuss with the applicant the availability of Federal, State, and institutional student financial aid;
- (30) The institution --
- (i) Has developed and implemented written plans to effectively combat the unauthorized distribution of copyrighted material by users of the institution's network, without unduly interfering with educational and research use of the network, that include --
- (A) The use of one or more technology-based deterrents;
- (B) Mechanisms for educating and informing its community about appropriate versus inappropriate use of copyrighted material, including that described in § 668.43(a)(10);
- (C) Procedures for handling unauthorized distribution of copyrighted material, including disciplinary procedures; and
- (D) Procedures for periodically reviewing the effectiveness of the plans to combat the unauthorized distribution of copyrighted

materials by users of the institution's network using relevant assessment criteria. No particular technology measures are favored or required for inclusion in an institution's plans, and each institution retains the authority to determine what its particular plans for compliance with paragraph (b)(30) of this section will be, including those that prohibit content monitoring; and

- (ii) Will, in consultation with the chief technology officer or other designated officer of the institution--
  - (A) Periodically review the legal alternatives for downloading or otherwise acquiring copyrighted material;
  - (B) Make available the results of the review in paragraph (b)(30)(ii)(A) of this section to its students through a Web site or other means; and
  - (C) To the extent practicable, offer legal alternatives for downloading or otherwise acquiring copyrighted material, as determined by the institution; and
- (31) The institution will submit a teach-out plan to its accrediting agency in compliance with 34 CFR 602.24(c), and the standards of the institution's accrediting agency upon the occurrence of any of the following events:
- (i) The Secretary initiates the limitation, suspension, or termination of the participation of an institution in any Title IV, HEA program under 34 CFR 600.41 or subpart G of this part or initiates an emergency action under § 668.83.
  - (ii) The institution's accrediting agency acts to withdraw, terminate, or suspend the accreditation or preaccreditation of the institution.
  - (iii) The institution's State licensing or authorizing agency revokes the institution's license or legal authorization to provide an educational program.
  - (iv) The institution intends to close a location that provides 100 percent of at least one program.
  - (v) The institution otherwise intends to cease operations.
- (c) In order to participate in any Title IV, HEA program (other than the LEAP and NEISP programs), the institution must certify that it--
- (1) Has in operation a drug abuse prevention program that the institution has determined to be accessible to any officer, employee, or student at the institution; and
  - (2)(i) Has established a campus security policy in accordance with section 485(f) of the HEA; and
  - (ii) Has complied with the disclosure requirements of § 668.47 as required by section 485(f) of the HEA.
- (d)(1) The institution, if located in a State to which section 4(b) of the National Voter Registration Act (42 U.S.C. 1973gg-2(b)) does not apply, will make a good faith effort to distribute a mail voter registration form, requested and received from the State, to each student enrolled in a degree or certificate program and physically in attendance at the institution, and to make those forms widely available to students at the institution.
- (2) The institution must request the forms from the State 120 days prior to the deadline for registering to vote within the State. If an institution has not received a sufficient quantity of forms to fulfill this section from the State within 60 days prior to the deadline for

- registering to vote in the State, the institution is not liable for not meeting the requirements of this section during that election year.
- (3) This paragraph applies to elections as defined in Section 301(1) of the Federal Election Campaign Act of 1971 (2 U.S.C. 431(1)), and includes the election for Governor or other chief executive within such State.
- (e)(1) A program participation agreement becomes effective on the date that the Secretary signs the agreement.
- (2) A new program participation agreement supersedes any prior program participation agreement between the Secretary and the institution.
- (f)(1) Except as provided in paragraphs (g) and (h) of this section, the Secretary terminates a program participation agreement through the proceedings in subpart G of this part.
- (2) An institution may terminate a program participation agreement.
- (3) If the Secretary or the institution terminates a program participation agreement under paragraph (f) of this section, the Secretary establishes the termination date.
- (g) An institution's program participation agreement automatically expires on the date that--
- (l) The institution changes ownership that results in a change in control as determined by the Secretary under 34 CFR part 600; or
- (2) The institution's participation ends under the provisions of § 668.26(a)(1), (2), (4), or (7).
- (h) An institution's program participation agreement no longer applies to or covers a location of the institution as of the date on which that location ceases to be a part of the participating institution.

### **WILLIAM D. FORD FEDERAL DIRECT LOAN PROGRAM**

If an institution participates in the William D. Ford Federal Direct Loan (Direct Loan) Program, the institution and its representatives shall comply with the statute, guidelines, and regulations governing the Title IV, Part D, William D. Ford Federal Direct Loan Program as required by 20 U.S.C. §§ 1087a *et seq.* (Part C) and 34 C.F.R. Part 685.

The institution will:

1. Provide for the establishment and maintenance of a Direct Loan Program at the Institution that will:

Identify eligible students who seek student financial assistance in accordance with Section 484 of the Higher Education Act of 1965, as amended (the HEA).

Estimate the need of students as required under Title IV, Part F of the HEA.

Provide a certification statement of eligibility for students to receive loans that will not exceed the annual or aggregate limits, except the Institution may exercise its authority, under exceptional circumstances identified by the Secretary, to refuse to certify a statement that permits a student to receive a loan, or certify a loan amount that is less than the student's determination of need, if the reason for such action is documented and provided in written form to a student.

Establish a schedule for disbursement of loan proceeds to meet the requirements of Section 428G of the HEA.

Provide timely and accurate information to the Secretary concerning 1) the status of borrowers while students are in attendance, any new information pertaining to the status of student borrowers of which the Institution becomes aware after the student leaves the Institution, and 2) the utilization of Federal funds under Title IV, Part D of the HEA at such times and in such manner as prescribed by the Secretary.

2. Comply with requirements established by the Secretary relating to student loan information with respect to the Direct Loan Program.
3. Provide that students at the Institution and their parents (with respect to such students) will be eligible to participate in the programs under Title IV, Part B of the HEA, Federal Family Education Loan programs, at the discretion of the Secretary for the period during which such Institution participates in the Direct Loan Program, except that a student or parent may not receive loans under both Title IV, Part B and Part D of the HEA for the same period of enrollment.
4. Provide for the implementation of a quality assurance system, as established by the Secretary and developed in consultation with Institutions of higher education, to ensure that the Institution is complying with program requirements and meeting program objectives.
5. Provide that the Institution will not charge any fees of any kind, regardless of how they are described, to student or parent borrowers for loan application, or origination activities (if applicable), or the provision and processing of any information necessary for a student or parent to receive a loan under Title IV, Part D of the HEA.
6. Provide that the Institution will originate loans to eligible students and parents in accordance with the requirements of Title IV, Part D of the HEA and use funds advanced to it solely for that purpose (Option 2 only).

7. Provide that the note or evidence of obligation of the loan shall be the property of the Secretary (Options 2 and 1 only).
8. Comply with other provisions as the Secretary determines are necessary to protect the interest of the United States and to promote the purposes of Title IV, Part D of the HEA.
9. Accept responsibility and financial liability stemming from its failure to perform its functions under this Program Participation Agreement.

## **CERTIFICATIONS REQUIRED FROM INSTITUTIONS**

The Institution should refer to the regulations cited below. Signature on this Agreement provides for compliance with the certification requirements under 34 C.F.R. Part 82, "New Restrictions on Lobbying," 34 C.F.R. Part 84, "Governmentwide Requirements for Drug-Free Workplace (Financial Assistance)," 34 C.F.R. Part 85, "Governmentwide Debarment and Suspension (Nonprocurement)," and 34 C.F.R. Part 86, "Drug and Alcohol Abuse Prevention." Breach of any of these certifications constitutes a breach of this Agreement.

### **PART 1 CERTIFICATION REGARDING LOBBYING; DRUG-FREE WORKPLACE; DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS; AND DRUG AND ALCOHOL ABUSE PREVENTION**

#### ***1. Lobbying***

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 34 C.F.R. Part 82, for persons entering into a Federal contract, grant or cooperative agreement over \$100,000, as defined at 34 C.F.R. Part 82, Sections 82.105, and 82.110, the undersigned certifies, to the best of his or her knowledge and belief, that:

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a

Member of Congress in connection with this Federal contract, grant, loan or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

- (3) The Institution shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants and contracts under grants, loans and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

### ***2a. Drug-Free Workplace (Grantees Other Than Individuals)***

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 C.F.R. Part 84, Subpart B, for grantees, as defined at 34 C.F.R. Part 84, Sections 84.200 through 84.230 -

The Institution certifies that it will or will continue to provide a drug-free workplace by:

- (a) Publishing a drug-free workplace statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- (b) Establishing an on-going drug-free awareness program to inform employees about-
  - (1) The dangers of drug abuse in the workplace;
  - (2) The Institution's policy of maintaining a drug-free workplace;
  - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
  - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
- (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
- (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will -
  - (1) Abide by the terms of the statement, and
  - (2) Notify the employer in writing if he or she is convicted for a violation of a criminal drug statute occurring in the workplace no more than five calendar days after such conviction;
- (e) Notifying the agency, in writing, within 10 calendar days after receiving notice under this subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: Director, Grants and Contracts Service, U.S. Department of Education, 400 Maryland Avenue, S.W., Washington, DC 20202. Notice shall include the identification number(s) of each affected grant;

- (f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted -
- (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1972, as amended; or
  - (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
- (g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

### ***2b. Drug-Free Workplace (Grantees Who Are Individuals)***

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 C.F.R. Part 84, Subpart C, for recipients who are individuals, as defined at 34 C.F.R. Part 84, Section 84.300 -

1. As a condition of the grant, the Institution certifies that it will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity related to the award; and
2. If any officer or owner of the Institution is convicted of a criminal drug offense resulting from a violation occurring during the conduct of any award activity, the Institution will report the conviction, in writing, within 10 calendar days of the conviction, to: Director, Grants and Contracts Service, U.S. Department of Education, 400 Maryland Avenue, S.W., Washington, DC 20202. Notice shall include the identification number(s) of each affected grant.

### ***3. Debarment, Suspension, and Other Responsibility Matters***

As required by Executive Order 12549, Debarment and Suspension, and implemented at 34 C.F.R. Part 85, for prospective participants in primary covered transactions as defined at 34 C.F.R. Part 85, Sections 85.105 and 85.110, the Institution certifies that it and its principals:

- (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
- (b) Have not within a three-year period preceding this application been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public or private agreement or transaction; violation of Federal or State antitrust statutes; commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, tax evasion, receiving stolen property, making false claims, or obstruction of justice; or commission of any other offense indicating a lack of business integrity or business honesty that seriously

and directly affects their present responsibility.

- (c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (b) of this certification; and
- (d) Have not within a three-year period preceding this application had one or more public transactions (Federal, State, or local) terminated for cause or default.

#### ***4. Drug and Alcohol Abuse Prevention***

As required by the Drug-Free Schools and Communities Act Amendments of 1989, which added section 1213 to the Higher Education Act, and implemented at 34 C.F.R. Part 86, the undersigned Institution certifies that it has adopted and implemented a drug prevention program for its students and employees that, at a minimum, includes--

1. The annual distribution in writing to each employee, and to each student who is taking one or more classes for any kind of academic credit except for continuing education units, regardless of the length of the student's program of study, of:
  - Standards of conduct that clearly prohibit, at a minimum, the unlawful possession, use, or distribution of illicit drugs and alcohol by students and employees on its property or as part of any of its activities.
  - A description of the applicable legal sanctions under local, State or Federal law for the unlawful possession or distribution of illicit drugs and alcohol.
  - A description of the health risks associated with the use of illicit drugs and the abuse of alcohol.
  - A description of any drug or alcohol counseling, treatment, or rehabilitation or re-entry programs that are available to employees or students.
  - A clear statement that the Institution will impose disciplinary sanctions on students and employees (consistent with local, State and Federal law), and a description of those sanctions, up to and including expulsion or termination of employment and referral for prosecution, for violation of the standards of conduct. A disciplinary sanction may include the completion of an appropriate rehabilitation program.
2. A biennial review by the Institution of its program to:
  - Determine its effectiveness and implement changes to the program if they are needed.
  - Ensure that its disciplinary sanctions are consistently enforced.

## PART 2 CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY, AND VOLUNTARY EXCLUSION -- LOWER TIER COVERED TRANSACTIONS

The Institution is to obtain the signatures of Lower Tier Contractors on reproduced copies of the certification below, and retain the signed certification(s) in the Institution's files.

### CERTIFICATION BY LOWER TIER CONTRACTOR (Before Completing Certification, Read Instructions for This Part 3, below)

- (1) The prospective lower tier participant certifies by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal Department or Agency.
- (2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

\_\_\_\_\_  
Name of Lower Tier Organization

\_\_\_\_\_  
PR/Award Number or Project Name

\_\_\_\_\_  
Name of Authorized Representative

\_\_\_\_\_  
Title of Authorized Representative

\_\_\_\_\_  
Signature of Authorized Representative

\_\_\_\_\_  
Date

- 1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
- 2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
- 3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to whom this proposal is submitted for assistance in obtaining a copy of those regulations.
5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
6. The prospective lower tier participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion-- Lower Tier Covered Transactions," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.
8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

**NOTE:** A completed copy of the "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-- Lower Tier Covered Transactions" form must be retained by the Institution. The original blank certification must be returned with the PPA.

**IN WITNESS WHEREOF**

the parties hereto have caused this Agreement to be executed by their duly authorized representatives.

Signature of Institution's  
Chief Executive Officer:

Date: \_\_\_\_\_

Print Name and Title:

\_\_\_\_\_  
\_\_\_\_\_

For the Secretary:

U.S. Department of Education

Date: \_\_\_\_\_

