



**Bureau for Private Postsecondary Education**  
 2535 Capitol Oaks Drive, Suite 400, Sacramento, CA 95833  
 P.O. Box 980818, West Sacramento, CA 95798-0818  
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**NOTICE TO COMPLY** – CA-3806551-1018 (Ed. Code §94935 & 5, CCR §75010)

Institution Name:	Wharton School of the University of Pennsylvania, The	Institution Telephone:	(415) 777-1000
Institution Code:	3806551	Administrator Name:	Bernadette Birt, COO
Street Address:	2 Harrison Street, Suite 600 San Francisco, CA	Date of Inspection:	10/26/2018

Nature and Facts of the Violation(s), Including a Reference to the Statute or Regulation Violated, and Manner in Which the Institution Must Correct the Violation to Achieve Compliance:

**CATALOG MINIMUM REQUIREMENTS**

Item No.	Referenced Law	Deficiency – Requested Submission
1	CEC §94909 (a)(8)(A)	<p>(a) Except as provided in subdivision (d), prior to enrollment, an institution shall provide a prospective student, either in writing or electronically, with a school catalog containing, at a minimum, all of the following:</p> <p>(8) A detailed description of institutional policies in the following areas:                      (A) Admissions policies, including the institution’s policies regarding the acceptance of credits earned at other institutions or through challenge examinations and achievement tests, admissions requirements for ability-to-benefit students, and a list describing any transfer or articulation agreements between the institution and any other college or university that provides for the transfer of credits earned in the program of instruction. If the institution has not entered into an articulation or transfer agreement with any other college or university, the institution shall disclose that fact.</p> <p><b>The catalog contains contradictory policies regarding the acceptance of credits earned at other institutions. According to page 6 and 9 of the catalog, the school does not accept transfer credit. However, page 8 of the catalog under subsection, waive by credential, the method to waive courses listed is due to credits earned at another institution. This is considered “transfer” credit.</b></p> <p><b>To remedy this violation, the catalog must contain consistent policies regarding the acceptance of credits earned at other institutions.</b></p>

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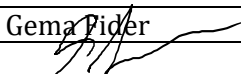

Inspector’s Initial: *[Signature]*  
 Administrator’s Initial: *[Signature]*



2	5, CCR §71810 (b)(7)	<p>(b) The catalog shall contain the information prescribed by Section 94909 of the Code and all of the following:</p> <p>(7) The institution's policies and procedures for the award of credit for prior experiential learning, including assessment policies and procedures, provisions for appeal, and all charges that a student may be required to pay;</p> <p><b>The catalog contains information regarding award of credit for prior experiential learning, however, the catalog did not include provisions for appeal for award of credit for prior experiential learning. According to page 8 of the catalog, under the Waive by credential policy the acceptance of CPA/ CA certification or practice experience as an auditor are all experiential learning.</b></p> <p><b>To remedy this violation, the school shall include the above-mentioned information in its catalog.</b></p>
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**STUDENT RECORDS MINIMUM REQUIREMENTS**

3	5, CCR §71920(b)(5)(E)	<p>(b) In addition to the requirements of section 94900, the file shall contain all of the following pertinent student records:</p> <p>(5) In addition to the requirements of section 94900(b) of the Code, a transcript showing all of the following:</p> <p>(E) The name, address, website address, and telephone number of the institution.</p> <p><b>The school failed to provide a transcript that identified the name and website address of the institution</b></p> <p><b>To remedy this violation, the school shall provide a transcript with the Wharton name and website address of the institution.</b></p>
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**Only minor violations are listed on a Notice to Comply.**

Inspector's Name	Gema Pider
Inspector's Signature	
Institution Administrator Name/Title:	Bernadette Birt, COO
Institution Administrator's Signature:	

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 Inspector's Initial:   
 Administrator's Initial: 

Education Code can be located at: [http://www.bppe.ca.gov/lawsregs/ppe\\_act.shtml](http://www.bppe.ca.gov/lawsregs/ppe_act.shtml)  
Code of Regulations can be located at: <http://www.bppe.ca.gov/lawsregs/regs.shtml>

**RETURN THIS FORM WITHIN THE SPECIFIED TIME FRAME WITH EITHER: 1) VERIFICATION OF COMPLIANCE OR 2) A NOTICE OF DISAGREEMENT**

### IMPORTANT COMPLIANCE NOTICE

California Education Code §94935 and California Code of Regulations §75010 provide that the Bureau for Private Postsecondary Education (Bureau) shall issue a Notice to Comply for minor violations detected during a compliance inspection by the Bureau.

By no later than 30 days from the date of the inspection, you must either: 1) Remedy the noncompliance item(s), sign the below declaration and submit this form to the Bureau, along with documentation describing how compliance was achieved; or 2) File with the Bureau a written notice of disagreement, specifying the minor violation(s) described in the Notice to Comply with which you disagree, and appealing it by requesting an informal office conference. If a written notice of disagreement is not timely filed with the Bureau, the right to appeal is deemed to have been waived.

**Failure to timely remedy the noncompliance item(s) or file a written request for an informal office conference may result in the Bureau taking administrative enforcement action.**

### DECLARATION

Attached to this document is a list describing how compliance was achieved for each violation and supporting documentation. I declare under penalty of perjury that all violations identified in this Notice to Comply are corrected as described in the attachment.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Print Name and Title

THIS DECLARATION OR A NOTICE OF DISAGREEMENT MUST BE SUBMITTED TO THE BUREAU BY **November 25, 2018**

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Inspector's Initial:   
Administrator's Initial: 