



**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 – CU 4901761 0616 (Ed. Code § 94935, 5 CCR § 75010)**



Institution Name:	Bay Area Center for Waldorf Teacher Training	Institution Telephone:	(415) 479-4400
Institution Code:	4901761	Administrator Name:	Dave Alsop
Street Address:	3800 Clark Road El Sobrante, CA 94803	Date of Inspection:	6/23/16

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:

**STUDENT TUITION RECOVERY FUND**

Education Code (CEC) or Code of Regulations (CCR)	Subsection, Description, and Required Correction
5, CCR §76140. Record-Keeping Requirements	<p>(a) A qualifying institution shall collect and maintain records of student information to substantiate the data reported on the STRF Assessment Reporting Form and records of the students' eligibility under the Fund. Such records shall include the following for each student:</p> <ul style="list-style-type: none"> <li>(1) Student identification number,</li> <li>(2) First and last names,</li> <li>(3) Email address,</li> <li>(4) Local or mailing address,</li> <li>(5) Address at the time of enrollment,</li> <li>(6) Home address,</li> <li>(7) Date enrollment agreement signed,</li> <li>(8) Courses and course costs,</li> <li>(9) Amount of STRF assessment collected,</li> <li>(10) Quarter in which the STRF assessment was remitted to the Bureau,</li> <li>(11) Third-party payer identifying information,</li> <li>(12) Total institutional charges charged, and</li> <li>(13) Total institutional charges paid.</li> </ul> <p><b>The institution did not maintain records of STRF eligibility for all students which included items (a)(1) through (a)(13).</b></p> <p><b>To remedy this violation, the institution shall establish and maintain records of eligibility for each student. Each student shall have a record for items (a)(1) through (a)(13), as noted above.</b></p> <p><b>The STRF eligibility documentation shall be submitted with the</b></p>

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Administrator's Initial: *DA*

	<p>institution's response to the NTC and the last page of this document within the specified time frame.</p>
<p><b>5, CCR §76140. Records-Keeping Requirements</b></p>	<p>(b) The qualifying institution shall maintain the data required under this section in an electronic format that is readily available and open to inspection by the Bureau upon request. The institution shall make the records immediately available to a Bureau representative conducting a site inspection or, upon written request, shall provide a copy within 14 calendar days of the request. All records shall be provided to the Bureau in an intelligible and orderly manner and in an electronic format.</p> <p><b>The institution did not maintain the information required for each student in section (a)(1) through (a)(13) in an electronic format. The documentation was not made immediately available.</b></p> <p>To remedy this violation, the institution shall maintain the required data points in an electronic format and in an intelligible and orderly manner.</p> <p>The STRF eligibility documentation shall be submitted with the institution's response to the NTC and the last page of this document within the specified time frame.</p>

**INSTITUTIONAL ADVERTISEMENTS**

Education Code	Subsection , Description, and Required Correction
<p><b>5, CCR §74140. Retention of Advertising</b></p>	<p>Every institution shall retain, for a minimum of five years, copies of all advertising, including</p> <ul style="list-style-type: none"> <li>(a) flyers, brochures, newspaper, and other print advertisements,</li> <li>(b) scripts for, and audio and video recordings of, broadcast advertisements, and</li> <li>(c) internet content, and</li> <li>(d) scripts for telephone solicitations.</li> </ul> <p>The institution shall make these records immediately available for inspection and copying during normal business hours to site visit teams and the Bureau.</p> <p><b>The institution did not maintain records of advertisements, including flyers, brochures, and other print advertisements; for a minimum of five years. The institution was able to provide documentation of current print advertisements and advertisements from 2011-2013. There was no documentation of advertisements from 2012-2015.</b></p> <p>To remedy the violation, the institution shall retain and maintain for a minimum period of 5 years, copies of all advertising. The institution shall provide documentation of policies and procedures developed to maintain records of advertisements for a minimum of five (5) years.</p> <p>Documentation of the current advertising shall be submitted with the</p>

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**RECORDS**

Education Code or Code of Regulations	Subsection, Description, and Required Correction
5, CCR §71930. Maintenance of Records.	<p>(d) The institution shall maintain a second set of all academic and financial records required by the Act and this chapter at a different location unless the original records, including records stored pursuant to subdivision (b) of this section, are maintained in a manner secure from damage or loss. An acceptable manner of storage under this subsection would include fire resistant cabinets.</p> <p><b>The institution did not maintain a second set of all academic and financial records at a separate location or maintain the records on site secure from damage or loss. The records were maintained in metal filing cabinets.</b></p> <p><b>To correct the violation, the institution shall maintain a second set of all academic and financial records at a separate location or maintain the records on site secure from damage or loss. This may include copying a second set of all records, or maintaining electronic copies of each document for each student's academic and financial record. The institution shall submit documentation of policies and procedures established to show a second set of academic and financial records are maintained.</b></p> <p>The records correction shall be submitted with the institution's response to the NTC and the last page of this document within the specified time frame</p>
5, CCR §71920. Student Records.	<p>(b) In addition to the requirements of section 94900, the file shall contain all of the following pertinent student records:</p> <p>(9) A document showing the total amount of money received from or on behalf of the student and the date or dates on which the money was received</p> <p><b>The institution did not maintain complete financial records documenting the amount of money received from or on behalf of each student and the date on which the money was received. Ledgers were not maintained. Some student files had hand-written notes of payments received without showing dates the money was received.</b></p> <p><b>To correct the violation, the institution shall maintain in each student's financial record documentation of the total amount of money received from or pon behalf of the student and the dates on the money was received.</b></p> <p>The records correction shall be submitted with the institution's response to the NTC and the last page of this document within the specified time frame.</p>
5, CCR §71920. Student Records.	<p>(b) In addition to the requirements of section 94900, the file shall contain all of the following pertinent student records:</p>

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	<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 institution did not maintain transcripts in each graduated student file. Not all transcripts maintained included the institution's name, address, website address, and telephone number.</b></p> <p><b>To remedy this violation, the institution shall update the graduates file to contain the transcripts showing the institution's name, address, website address, and telephone number. All graduate files shall contain transcripts with the institution's name, address, website address, and telephone number. The institution shall submit with their response documentation of policies and procedures established to show the institution is placing final transcripts in each graduate file.</b></p> <p><b>The records correction shall be submitted with the institution's response to the NTC and the last page of this document within the specified time frame</b></p>
<p><b>5, CCR §1750. Withdrawal and Refunds</b></p>	<p>(f) The institution shall maintain a cancellation and withdrawal log, kept current on a monthly basis, which shall include the names, addresses, telephone numbers, and dates of cancellations or withdrawal of all students who have cancelled the enrollment agreement with, or withdrawn from, the institution during the calendar year.</p> <p><b>The institution did not provide documentation of a cancellation and withdrawal log.</b></p> <p><b>To remedy this violation, the institution shall provide documentation of a cancellation and withdrawal log for 2015-2016, kept current on a monthly basis, which shall include the names, addresses, telephone numbers, and dates of cancellations or withdrawal of all students who have cancelled the enrollment agreement with, or withdrawn from, the institution during the calendar year. The institution shall establish policies and procedures showing the institution is documenting and maintain the cancellation and withdrawal log.</b></p> <p><b>The records correction shall be submitted with the institution's response to the NTC and the last page of this document within the specified time frame</b></p>
<p><b>5, CCR §1720. Faculty.</b></p>	<p>(b) Instructors in an Educational Program Not Leading to a Degree.</p> <p>(1) An institution shall employ instructors who possess the academic, experiential and professional qualifications to teach, including a minimum of three years of experience, education and training in current practices of the subject area they are teaching. If an instructor does not possess the required three years of experience, education and training in the subject area they are teaching, the institution shall document the qualifications the instructor possesses that are equivalent to the minimum</p>


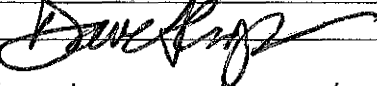
qualifications.

The institution did not maintain faculty records showing the qualification of each faculty member. There was no documentation showing each faculty member possessed a minimum of three years of experience.

To remedy this violation, the institution shall update each faculty member file with the faculty's qualification and provide the documentation of each faculty member's file reviewed to the Bureau. The institution shall establish policies and procedures for updating and maintaining faculty files with each faculty member's qualifications.

The records correction shall be submitted with the institution's response to the NTC and the last page of this document within the specified time frame

Only minor violations are listed on this Notice to Comply.

Inspector's Name	Matthew Wiggins
Inspector's Signature	
Institution Administrator Name/Title:	Dave Alsop, Assistant Director
Institution Administrator's Signature:	

Education Code can be located at: [http://www.bppe.ca.gov/lawsregs/pppe\\_act.shtml](http://www.bppe.ca.gov/lawsregs/pppe_act.shtml)

Code of Regulations can be located at: <http://www.bppe.ca.gov/lawsregs/regs.shtml>

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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 **July 24, 2016**.

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