

Second Edition

SREB

SREB-SARA Regional Steering Committee  
**Guidelines and Procedures**

Southern  
Regional  
Education  
Board  
SREB.org

**SREB** | State Authorization  
Reciprocity Agreements

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# SREB-SARA Guidelines and Procedures

## I. Definitions of Terms

**Home State:** A SARA Member State where an institution holds its legal domicile, authorization, and accreditation. To operate under SARA an institution must have a single Home State.

**Host State:** A SARA Member State in which an institution operates under the terms of SARA, other than the Home State. SARA: State Authorization Reciprocity Agreements.

**NC-SARA:** National Council for State Authorization Reciprocity Agreements is a non-profit organization that exists to coordinate the SARA work of the regional compacts, ensure that SARA has consistent nationwide coverage, and maximize efficient operations of the SARA initiative.

**NC-SARA Governing Documents:** The Unified State Authorization Reciprocity Agreement, SARA Policy Manual and the Interregional Guidelines for the Evaluation of Distance Education as updated periodically, and any document specifying SARA policies and practices that supersedes or amends these documents.

**Regional Compact:** Regional education compacts serve the states in their regions through improving education. There are four Regional Compacts: the Midwestern Higher Education Compact (MHEC), the New England Board of Higher Education (NEBHE), the Southern Regional Education Board (SREB) and the Western Interstate Commission for Higher Education (WICHE).

**RSCs:** Regional Steering Committees of the regional education compacts. Regional Compact Steering Committee makeup varies by region and may include educators, regulators, legislators, and State Portal Entity representatives.

**SARA** (State Authorization Reciprocity Agreements) is an agreement among member states, districts, and territories that establishes comparable national standards for interstate postsecondary distance education, thus providing a means for participating institutions in member states to offer distance education in other member states without having to obtain separate authorization from each state.

**S-SARA or SREB-SARA:** Acronym for the Southern Regional Education Board SARA initiative, to include the SARA Director, staff, and Regional Steering Committee. The other regional acronyms are N-SARA, M-SARA, and W-SARA.

**S-SARA Steering Committee:** The regional steering committee for the SREB Region.

**S-SARA Director:** The S-SARA supervisor of the SARA program for that compact.

**SPE: State Portal Entity:** The state higher education agency or other state body designated by each SARA Member State to carry out SARA responsibilities for the state and to serve as the interstate point of contact for SARA questions, complaints, and other communications.

**SREB:** Southern Regional Education Board.

**SREB-Affiliated Members:** is a state, district, or territory that affiliates with a regional compact, as a member of the regional steering committee, under the terms of SARA in order to join SARA but is not a full member of that compact. Pennsylvania; Washington, D.C.; Puerto Rico and the U.S. Virgin Islands are affiliated with SREB.

**SREB Members:** Sixteen (16) states that constitute an interstate compact, and are members of the regional steering committee, including Alabama, Arkansas, Delaware, Florida, Georgia, Kentucky, Louisiana, Maryland, Mississippi, North Carolina, Oklahoma, South Carolina, Tennessee, Texas, Virginia, and West Virginia.

**SREB Executive Board:** The Board includes the governor and four gubernatorial appointees from each member state, including at least one state legislator and one educator. The Legislative Advisory Council of legislators from each state advises the Board.

**SREB Leadership:** The SREB President or designee.

## II. S-SARA Steering Committee Purpose

The S-SARA Steering Committee works with S-SARA staff to approve state membership in SARA for the SREB Region. The S-SARA Steering Committee may recommend policies, procedures, and actions for both regional and national purposes. A state that seeks to join SARA through SREB will submit the SARA State Application and supporting documentation to the S-SARA Director.

## III. S-SARA Director Roles and Responsibilities

The S-SARA Director acts as the subject matter expert and main point of contact for regional SARA State Portal Entities, as well as the primary liaison to NC-SARA. The S-SARA Director schedules and plans the S-SARA Steering Committee meetings and may arrange and facilitate working group meetings and teleconferences. The S-SARA Director will:

- A. Work with the SREB President as the President determines the status of states that have application renewal dates within the next six months. States in good standing will be notified of upcoming state renewal 90 days prior to the renewal date. States deemed not in good standing will be notified of their status with SREB and their options.
- B. Distribute state applications and related documentation.
- C. Review state applications and renewals for required components and documentation.
- D. Ensure proper signatures are obtained on applications.
- E. Monitor development of the Steering Committee's documents and procedures.
- F. Plan the agenda, speakers, and content for each meeting in coordination with the RSC Chair.
- G. Plan logistics, meals, etc. for each meeting and reconcile travel reimbursements, invoices and budgets.
- H. Provide meeting minutes and distribute them to the Steering Committee following each meeting.
- I. Work with the Steering Committee Chair to manage S-SARA Steering Committee Nominations, Elections and Terms of Office in Section V.

## IV. S-SARA Steering Committee Composition

The S-SARA Steering Committee will be composed of:

- A. The SREB President or designee.
- B. Five at-large members selected by the SREB President and staff to serve as committee representatives. These individuals will represent various stakeholders and communities

of interest, including but not limited to state regulators, state government, accreditors, and institutions from all sectors of higher education.

- C. One member who represents the SARA SPE from each SREB member state.
- D. One member who represents the SARA SPE from each affiliated state or district that joins SREB for SARA purposes.
- E. One non-voting representative from any non-SARA state or SARA state that has indicated commitment to affiliate with SREB to seek membership in SARA and is actively pursuing the development of a new state application.

## V. S-SARA Steering Committee At-Large Members

- A. The SREB President will determine the terms of service for at-large Steering Committee members.
- B. At-large members of the S-SARA Steering Committee will be appointed to staggered three-year terms.
- C. Individuals may be reappointed by the SREB President or designee to serve additional terms.
- D. At-large members of the S-SARA Steering Committee who are unable to complete their terms may be replaced with another at-large representative. Such replacement members shall assume the remainder of the original member's term and subsequently may be appointed for a new term.

## VI. S-SARA Steering Committee Officers

### A. **Officer Designations:**

The officers of the Steering Committee shall be the Chair and Vice Chair.

### B. **Responsibilities of the Chair:**

The Committee will elect a Committee Chair to serve for two years, to sign requisite documents on behalf of the S-SARA Steering Committee and to undertake responsibilities as determined by the Committee.

### C. **Responsibilities of the Vice Chair:**

The Vice Chair will stand in for the Committee Chair when the Committee Chair is absent or when the Committee Chair's state is under review. The Vice Chair will sign the requisite documents on behalf of the S-SARA Steering Committee in the absence of the Chair and on behalf of the Committee when the Committee Chair's State is under review and shall undertake other responsibilities as determined by the S-SARA Steering Committee.

### D. **Qualifications of Officers:**

Officers must represent a State Portal Entity from an approved SARA state on the S-SARA Steering Committee.

### E. **Terms of Office:**

Each officer shall hold office for a two-year term beginning at the close of the fall meeting of the Steering Committee at which (s)he is elected. An officer who has served two consecutive two-year terms in the same office shall become eligible for two additional terms, in the same office, after a two-year period of not serving in said office. Terms of office for Vice Chair and Chair shall be staggered in accordance with the election procedure described herein.

**F. Nominations of Officers:**

Nominations for Chair and Vice Chair are to be submitted by SREB or Steering Committee members to the SREB-SARA Director no later than one month before the expiration of their terms. The deadline for nominations may be extended at the discretion of the SREB-SARA Director.

**G. Election of Officers:**

Elections for Chair and Vice Chair shall take place at the fall meeting of the Committee. Elections for Chair shall take place in even-numbered years. Elections for Vice Chair shall take place in odd-numbered years. The method of voting will be determined during the meeting where the vote is scheduled to occur.

**H. Vacancies in Officer Positions:**

In the event of a vacancy in the Chair or Vice Chair positions prior to the end of a term, the SREB Director, in consultation with the Steering Committee, will appoint a qualified Steering Committee member to serve in the officer position for the remainder of the term. Such an appointment shall not alter the eligibility of the appointed member to serve two complete two-year terms in the same office.

**I. Removal of Officers:**

An officer may be removed on a 2/3 majority vote of the Steering Committee.

## VII. S-SARA Steering Committee Member Commitment of Participation

Members will:

- A. Dedicate approximately 8-12 hours per calendar quarter to committee-related preparation and activities.
- B. Share personal and professional expertise with the committee in reviewing issues, resolving conflicts, and making recommendations.
- C. Provide professional objectivity in all actions associated with committee work.
- D. Participate in scheduled state application review meetings. The number of S-SARA Steering Committee meetings will depend upon application submissions. No more than four meetings a year are anticipated.
- E. Participate in any other S-SARA Steering Committee meetings and consider Working Group participation as assigned by the Chair.

## VIII. S-SARA Steering Committee Working Groups

Working groups may be formed to work on processes, recommendations to NC-SARA, or other topics as determined by the needs of the Steering Committee. The S-SARA Director or working group leader will arrange and facilitate the group meetings, and either the working group leader or a designee will preside over the meetings. Members of the working groups will be selected by the S-SARA Director and Chair, or volunteers will be solicited. Recommendations from the working groups will be reported to the full Steering Committee for consideration or further action.

## IX. S-SARA Steering Committee Roles and Responsibilities

- A. The S-SARA Steering Committee's roles and responsibilities are determined by the SREB and may include the following:
  - i. Meet at least twice a year to review state compliance with the SARA Governing Documents and, as necessary, make recommendations to SREB Leadership and S-SARA staff regarding:
    - a. SARA membership of a state after determining whether the applicant state meets the eligibility requirements of SARA membership as listed in the application as developed and distributed by NC-SARA.
    - b. Renewal of the SARA membership of a state after determining whether the applicant state meets the eligibility requirements of SARA membership as listed in the application as developed and distributed by NC-SARA.
    - c. Sanctioning or removing any state that is not compliant with the SARA Governing Documents.
  - ii. Review the SARA Governing Documents and if necessary make recommendations or comments to NC-SARA regarding any proposed changes.
  - iii. Address any other matters properly raised before the S-SARA Steering Committee and within the purview of the S-SARA Steering Committee as listed in this document and the SARA Governing Documents.
- B. Individual Steering Committee members will declare any conflict of interest and recuse themselves as needed to prevent the perception of impropriety. Members representing a SARA SPE will recuse themselves from decisions and recommendations related to their individual home states' applications to participate in SARA.

## X. S-SARA Steering Committee Procedures for Actions

At the time of this publication (July 2022), all states and territories in the SREB Region have been approved initially for SARA membership; therefore, initial approval is not covered in these procedures.

### A. Renewal Process

- i. Renewing
  - a. The state or territory will be notified at least 90 days in advance of the renewal date to submit a renewal application and supporting documents. The S-SARA Director will review the application and work with the state on revisions until the Director can recommend the state application for approval at the next Regional Steering Committee meeting. S-SARA staff will respond within two weeks of receipt of the application.
  - b. If the Steering Committee has determined that the state or territory's application is adequate and complete, the Steering Committee will vote whether to accept the renewal for S-SARA. The Steering Committee may approve or deny the application, request additional information from the state or territory, and/or request changes to the state's application.

- c. If the review of and vote on a state application is positive, the Steering Committee will make a recommendation for renewal of the applicant state.
- d. Renewal applications that are recommended for approval must be signed by the S-SARA Steering Committee Chair, regional S-SARA Director and SREB President. Approval is effective on the date all signatures are obtained, and the Director will notify the state or territory of its renewal.
- e. In the event that the Steering Committee decides not to recommend renewing a state or territory for membership in SARA, the application will be returned with comments and requested information within two weeks of the Steering Committee meeting. The state or territory may resubmit the application and respond to the comments and information requests or appeal the decision within 30 days. The response or appeal should be addressed to the S-SARA Director and mailed to the S-SARA office (SREB, 592 10th Street NW, Atlanta, GA 30318) or emailed to SARA@SREB.org.

## **B. Renewal Considerations**

In reviewing renewal applications, the Steering Committee will consider the following as evidence of compliance with the requirements for renewal in the SARA Policy Manual. The Steering Committee reserves the right to question the applicant state or territory on these issues or request additional documentation on these issues:

- i. Maintains eligibility through membership in or affiliation with SREB. (See Section 2.1)
- ii. Has legal authority under state law to enter into an interstate agreement that covers all the elements of SARA
- iii. Maintains membership in or affiliation in good standing with the SREB for purposes of SARA participation that is verified per recommendation of the SREB Board
- iv. Timely submits a complete Application for Renewal of Membership or a request for extension. See Section 2.2
- v. Works cooperatively with other SARA states, regional compacts, and NC-SARA to enable success of the SARA Initiative
- vi. Affirm its willingness and ability to maintain continued compliance with SARA Governing Documents
- vii. Meets SARA requirements under Section 2.5 of the SARA Policy Manual in the performance and management of its duties including those for:
  - a. Considering initial and renewal applications
  - b. Evaluating institutions granted initial participation, subsequent renewal or denied participation
  - c. Monitoring institution's data reporting of enrollments and clinical placements
  - d. Monitoring to ensure timely renewal of institutions
  - e. Determining and resolving provisional status
  - f. Timely review and final adjudication of SARA-related complaints
  - g. Adjudicating appeals from institutions that are denied initial participation or renewal of participation in SARA



### **C. Submitting Policy Recommendations to NC-SARA**

The S-SARA Steering Committee will hear and make recommendations regarding requests for changes to SARA policy. A person or state making such requests should provide a written rationale supporting the request to the S-SARA Director, who will provide the request to the S-SARA Steering Committee. If the S-SARA Steering Committee recommends making changes, it will provide the recommendations to the S-SARA Director to present to the SREB President. The S-SARA Director will communicate the recommendations in writing to the SREB President and request the President's consideration of, and feedback on, all policy changes, clarifications and/or modifications recommended by the S-SARA Steering Committee and/or other stakeholders from the SREB Region before any recommendations are submitted to NC-SARA.

### **D. SARA Participating Institution Noncompliance**

#### **i. First Warning**

If a SPE determines that an institution is noncompliant, through either its own investigation or notification from S-SARA staff, the SPE should give the institution a First Warning and provide an opportunity to address all areas of noncompliance. The notice should list the areas of noncompliance and require that the institution provide a response, including a timeline for compliance, to the SPE within 30 days of the date of the notice. If an adequate response is received, the matter would be considered closed.

#### **ii. Second Warning**

If there is no response to the First Warning, the problem persists, or additional complaints relating to the same matter are received, the SPE shall send the institution a Second Warning that includes a request for the institution to provide a plan to address the areas of noncompliance, a timeline and a follow-up process. If individual students are involved, the plan must include a plan to address their individual concerns. The Second Warning should also notify the institution that it will be removed from SARA pursuant to SARA Policy Manual section 3.8c. if a plan to achieve compliance is not proposed. The response should be submitted to the SPE within 30 days of the Second Warning. If an adequate response is received, the matter would be considered closed.

#### **iii. Notice of Removal**

If a complete response to the Second Warning is not submitted, the SPE will send the institution a Notice of Removal. The Notice of Removal should reference SARA Policy Manual section 3.8d. and state the effective date of removal. The SPE shall copy S-SARA staff on the Notice of Removal.

### **E. Appeals to the S-SARA Steering Committee**

#### **i. Provisional Status — Institutional Appeal**

A SPE may place an institution on provisional status for four reasons: (1) provisional or probationary accreditation status; (2) cash management or a federal financial responsibility score between 1.0 and 1.5; (3) a government investigation related to academic quality, financial stability or consumer protection; or (4) a current investigation by its Home State for academic quality, financial stability or consumer protection.

An institution may appeal a SPE decision to the S-SARA Steering Committee within 30 days of notice of the decision granting provisional status, to ensure SARA policies were followed during the review process (SARA Manual Section 3.7b.7). The appeal proceeding will conclude within 90 days of receipt of the written appeal.

- a. The institution shall provide a written appeal addressed to the S-SARA staff, which will be provided to all S-SARA Steering Committee members and placed on the agenda

of the next Steering Committee meeting. The written appeal shall clearly state the grounds for the appeal and, where applicable, cite the sections of the SARA Policy Manual that the SPE may have failed to follow.

- b. S-SARA staff shall separately notify the SPE of the appeal and provide the SPE an opportunity to submit a written response.
- c. The institution may send two delegates to the Steering Committee meeting to appeal the provisional status.
- d. The S-SARA Steering Committee will hear the appeal and vote at that meeting on whether the SPE followed the SARA policies during the review process. The Steering Committee may confirm that the SPE was correct in its decision regarding provisional status, recommend to the SPE that it remove the provisional status, or request additional information.
- e. If additional information is requested, the hearing will conclude at the next S-SARA Steering Committee meeting.
- f. If provisional status is confirmed by the S-SARA Steering Committee, there is no further appeal for the institution.

If the S-SARA Steering Committee determines that the state did not uphold SARA policies, the S-SARA Steering Committee may recommend adverse action against the SPE as provided for in Section X. S-SARA Steering Committee Action Against S-SARA Member States of these Guidelines and Procedures.

ii. Institution Renewal Denial Appeal

If institutional participation renewal is denied, the SPE will provide to the applicant institution a written reason for the denial. The institution may appeal the denial to its S-SARA staff within 30 calendar days, to ensure SARA policies were upheld by its Home State during the review process. (SARA Policy Manual Section 3.7b.9)

- a. The institution shall provide a written appeal addressed to the S-SARA staff, which will be provided to all S-SARA Steering Committee members and placed on the agenda of the next Steering Committee meeting. The written appeal shall clearly state the grounds for the appeal and, where applicable, cite the sections of the SARA Manual that the SPE may have failed to follow.
- b. S-SARA staff will separately notify the SPE of the appeal and provide the SPE an opportunity to submit a written response.
- c. The institution may send two delegates to the Steering Committee meeting to appeal the provisional status.
- d. The S-SARA Steering Committee will hear the appeal and vote at that meeting on whether the SPE followed the SARA policies during the review process and may recommend to the SPE that it reconsider the institution's status, request additional information, or confirm that the SPE was correct in its decision regarding denial.
- e. If additional information is requested, the hearing will conclude at the next RSC meeting.
- f. If denial is confirmed by the S-SARA Steering Committee, there is no further appeal for the institution. If the S-SARA Steering Committee determines that the state did not uphold SARA policies, the S-SARA Steering Committee may recommend adverse action against the SPE, as provided for in Section X. S-SARA Steering Committee Action Against S-SARA Member States of these Guidelines and Procedures.

### iii. Home State Designation Appeal

In the event that a state or an institution disagrees with the SPE determination of a Home State, the following will apply:

- a. If the state under consideration is in the SREB Region, the appeal will be made to the S-SARA Director. Appeals will be reviewed by S-SARA staff, the SREB President and NC-SARA staff. Affected states and the institution will be given an opportunity to file written comments before the SREB President makes a final decision. After this decision no further appeal is permitted.
- b. If the state in question is in a different Regional Compact and SREB leadership disagrees with the other Regional Compact on the Home State assignment, NC-SARA will make a final determination in consultation with the affected Regional Compacts. Affected states and the institution will be given an opportunity to file written comments at the discretion of NC-SARA.

### iv. Supervised Field Experience Appeal

If a Host State objects to a Supervised Field Experience or clinical placement under SARA on the grounds set forth in subsection 2, the Steering Committee of the affected Regional Compact(s) shall determine whether the placement is allowable under SARA (SARA Policy Manual 5.11d.3). If states outside of the SREB Region are involved, S-SARA staff will include other Regional Compact staff in the resolution process.

- a. The objection to field experience shall be submitted in writing within 30 days to the S-SARA staff and Steering Committee for consideration.
- b. The S-SARA staff will distribute the objection to members with a suggested resolution, requiring comment from members within two weeks of distribution.
- c. If all members agree with the resolution by email, the determination will be communicated to the Host State immediately.
- d. If members do not agree initially, the item will be placed on the agenda at the next Steering Committee meeting for discussion and voting.
- e. The Steering Committee determination for resolution is the final decision, with no further appeal.

## XI. S-SARA Steering Committee Action Against S-SARA Member States

As per Section 4.3 of the Unified State Authorization Reciprocity Agreement, the S-SARA Steering Committee will monitor participating states' compliance with SARA and may:

- i. Expel a state from SARA
- ii. Sanction and outline corrective actions for states that fail to meet the requirements for participation
- iii. Dismiss any states that fail to respond to concerns and plans for improvement

### A. Sanctioning States

**Level I:** Initial sanction will be a written reprimand from the S-SARA Steering Committee, with a request for documentation of corrective actions within a specified time period, depending on the corrective actions required.

**Level II:** If corrective actions are not achieved within the specified time, the S-SARA Steering Committee will address the reprimand to the Education Commissioner, Governor or legislative body and copy the state's institutions.

**Level III:** Expulsion.

- i. State Expulsion or Dismissal and Appeal
  - a. If an unsatisfactory outcome or no response is received from sanctions, the matter will be placed on the next S-SARA Steering Committee meeting agenda to consider whether to recommend expulsion to the SREB Executive Board. The SPE may submit a written comment concerning expulsion at least 30 days prior to the meeting date and shall be afforded an opportunity to present oral comments at the meeting.
  - b. If the S-SARA Steering Committee recommends expulsion to the SREB Executive Board, S-SARA staff will notify the SPE of the date and time of consideration by the SREB Executive Committee. The SPE may submit written comments concerning expulsion at least 30 days prior to the meeting date and will be given an opportunity to present oral comments at the meeting. The SREB Executive Board shall notify the SPE of its decision within 30 days of the meeting.
  - c. In the event a state is expelled from SARA, all SPEs and NC-SARA will be notified of the expulsion. In addition, the SPE of the expelled state shall notify all institutions participating in SARA located in the expelled state that the institutions are no longer allowed to participate in SARA and that the institutions should start teaching out online students located in states other than their Home State or seek authority to operate in the other states where it has students. The teach-out process may not extend beyond six months or the end of the current term (SARA Policy Manual 2.3 and 2.4).
  - d. In the event of expulsion, affiliated states/territories will not receive a refund of the affiliation fee for a portion of the term.