



Bureau for Private Postsecondary Education
 2535 Capitol Oaks Drive, Suite 400, Sacramento, CA 95833
 P.O. Box 980818, West Sacramento, CA 95798-0818
 P (916) 431-6959 F (916) 263-1897 www.bppe.ca.gov



NOTICE TO COMPLY – CA 4307401 0118 (Ed. Code § 94935, 5 5, CCR § 75010)

Institution Name:	Shin Shin Training Center	Institution Telephone:	510-259-9696
Institution Code:	4307401	Administrator Name:	Jian Li (on behalf of Alice Wang)
Street Address:	2090 Warm Springs Court, Suite 100 Fremont, CA 94539	Date of Inspection:	1/22/18

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 (5, CCR)	Subsection, Description, and Required Correction
1	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> <ol style="list-style-type: none"> (1) Student identification number, (2) First and last names, (3) Email address, (4) Local or mailing address, (5) Address at the time of enrollment, (6) Home address, (7) Date enrollment agreement signed, (8) Courses and course costs, (9) Amount of STRF assessment collected, (10) Quarter in which the STRF assessment was remitted to the Bureau, (11) Third-party payer identifying information, (12) Total institutional charges charged, and (13) Total institutional charges paid. <p>The documentation the institution maintained to substantiate the STRF eligibility for all students did not contain the date the enrollment agreement was signed.</p> <p>To remedy this violation, the institution shall provide updated STRF records for the 3rd and 4th Quarters of 2017 which contain the date the student signed the enrollment agreement. The documentation shall be provided to the Bureau in an electronic format. The institution shall provide their established policy for the maintenance records of eligibility for each student.</p>

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Inspector's Initial: *MW*

Administrator's Initial: *JL*

	The STRF eligibility documentation shall be submitted with the institution's response to the NTC and the last page of this document by February 22, 2018.
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INSTITUTIONAL WEBSITE AND ADVERTISEMENTS

	Education Code (CEC) or Code of Regulations (5, CCR)	Subsection, Description, and Required Correction
2	CEC §94913. Institutional Web Site Requirements	<p>(a) An institution that maintains an Internet Web site shall provide on that Internet Web site all of the following: (1) The school catalog.</p> <p>The institution's website does not contain an active link to the current school catalog.</p> <p>To remedy the violation, the institution's current website shall be updated to provide a current school catalog.</p> <p>A printout of or a link to the updated website shall be submitted with the institution's response to the NTC and the last page of this document by February 22, 2018.</p>
3	CEC §94913. Institutional Web Site Requirements	<p>(a) An institution that maintains an Internet Web site shall provide on that Internet Web site all of the following: (2) A School Performance Fact Sheet for each educational program offered by the institution.</p> <p>The institution's website does not contain 2015/2016 Performance Fact Sheets with accurate information.</p> <p>To remedy the violation, the institution's website shall be updated to contain the updated and corrected 2015/2016 Performance Fact Sheets.</p> <p>A printout of or a link to the updated website shall be submitted with the institution's response to the NTC and the last page of this document by February 22, 2018.</p>

ANNUAL REPORT & SCHOOL PERFORMANCE FACT SHEET

	Education Code (CEC) or Code of Regulations (5, CCR)	Subsection, Description, and Required Correction
4	5, CCR §74110. Annual Report.	<p>(b) In addition to the information required by section 94934 provided under penalty of perjury, the institution shall have annual financial statements prepared for the institution's prior fiscal year and signed under penalty of perjury, and shall submit a hard copy under separate cover of such statements in conjunction with its annual report. The form, content and mode of preparation of financial statements shall comply with Section 74115 of this Division. The Bureau may request that the institution immediately make available for inspection to a representative of the Bureau, these financial statements at the offices of the institution.</p>

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		<p>The institution did not provide their financial statements with their annual report for the prior fiscal year.</p> <p>To remedy the violation, the institution shall provide their financial statements, which shall include, at a minimum, the balance sheet, cash flow statement, and income statement.</p> <p>The corrections to the PFS substantiating documentation shall be submitted with the institution's response to the NTC and the last page of this document by February 22, 2018.</p>
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STUDENT RECORDS

	Education Code (CEC) or Code of Regulations (5, CCR)	Subsection, Description, and Required Correction
5	CEC §94900. Required Student Records	<p>(a) An institution shall maintain records of the name, address, e-mail address, and telephone number of each student who is enrolled in an educational program in that institution.</p> <p>The institution did not maintain records of the address, email address, and telephone for each student enrolled in an educational program who were enrolled as a voucher student.</p> <p>To remedy this violation, the institution shall submit with their NTC response documentation of an established policy and procedure for the collection and maintenance of the address, email address, and telephone for each student who enrolls in the institution.</p> <p>Documentation of compliance shall be submitted with the institution's response to the NTC and the last page of this document by February 22, 2018.</p>
6	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>(1) Written records and transcripts of any formal education or training, testing, or experience that are relevant to the student's qualifications for admission to the institution or the institution's award of credit or acceptance of transfer credits including the following:</p> <p>(A) Verification of high school completion or equivalency or other documentation establishing the student's ability to do college level work, such as successful completion of an ability-to-benefit test .</p> <p>The institution did not maintain student records which contained verification of high school completion or equivalency or other documentation establishing the student's ability to do college level work. Student files did not contain a copy of a recognized high school diploma, GED certificate, or equivalent. The institution</p>

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		<p>stated student's high school completion is verified, but the documentation is not maintained.</p> <p>To remedy this violation, the institution shall submit with their NTC response documentation of an established policy and procedure showing the institution is including written records and transcripts documenting the student's ability to do college level work.</p> <p>Documentation of compliance shall be submitted with the institution's response to the NTC and the last page of this document by February 22, 2018.</p>
7	<p>5, CCR §71920. Student Records.</p>	<p>(b) In addition to the requirements of section 94900, the file shall contain all of the following pertinent student records:</p> <p>(2) Personal information regarding a student's age, gender, and ethnicity if that information has been voluntarily supplied by the student.</p> <p>The institution did not maintain records of personal information regarding a student's age, gender, and ethnicity if that information has been voluntarily supplied by the student for any student enrolled as a voucher student through the Workforce Innovation and Opportunity Act (WIOA) or Trade Adjustment Assistance (TAA). Student files for WIOA and TAA students did not contain an enrollment agreement.</p> <p>To remedy this violation, the institution shall submit documentation of an established policy and procedure for the collection and maintenance of personal information regarding a student's age, gender, and ethnicity if that information has been voluntarily supplied by the student for all students enrolled in the institution.</p> <p>Documentation of compliance shall be submitted with the institution's response to the NTC and the last page of this document by February 22, 2018.</p>
8	<p>CEC §94900. Required Student Records</p>	<p>(b) An institution shall maintain, for each student granted a degree or certificate by that institution, permanent records of all of the following:</p> <p>(1) The degree or certificate granted and the date on which that degree or certificate was granted.</p> <p>(2) The courses and units on which the certificate or degree was based.</p> <p>(3) The grades earned by the student in each of those courses.</p> <p>The institution did not maintain a permanent record (transcript) containing the certificate awarded and the date on which that certificate was granted, the courses and units on which the certificate was based, and the grades earned by the student in each of those courses for each student awarded a certificate.</p> <p>To remedy this violation, the institution shall submit documentation of an established policy and procedure for developing and maintaining a permanent</p>

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		<p>transcript for each student awarded a certificate upon completion of the program, which shall contain the certificate awarded and the date on which that certificate was granted, the courses and units on which the certificate was based, and the grades earned by the student in each of those courses for each student awarded a certificate.</p> <p>Documentation of compliance shall be submitted with the institution's response to the NTC and the last page of this document by February 22, 2018.</p>
9	<p>5, CCR §71920. Student Records.</p>	<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>(A) The courses or other educational programs that were completed, or were attempted but not completed, and the dates of completion or withdrawal.</p> <p>The institution did not maintain transcripts in each withdrawn and graduated student file. Jian Li stated the institution does not maintain or provide student transcripts.</p> <p>To remedy this violation, the institution shall submit with their NTC response documentation of an established policy and procedure showing the institution is placing transcripts containing the courses that were completed, or were attempted but not completed and the dates of completion or withdrawal in each withdrawn and graduate student file.</p> <p>The records correction shall be submitted with the institution's response to the NTC and the last page of this document by February 22, 2018.</p>
10	<p>5, CCR §71920. Student Records.</p>	<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>The institution did not maintain transcripts in each withdrawn and graduated student file. Jian Li stated the institution does not maintain or provide student transcripts.</p> <p>To remedy this violation, the institution shall submit with their NTC response documentation of an established policy and procedure showing the institution is placing transcripts in each student and graduate file containing the institution's name, address, website address, and telephone number.</p> <p>The records correction shall be submitted with the institution's response to the NTC and the last page of this document by February 22, 2018.</p>

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11	<p>5, CCR §71920. Student Records.</p>	<p>(b) In addition to the requirements of section 94900, the file shall contain all of the following pertinent student records:</p> <p>(3) Copies of all documents signed by the student, including contracts, instruments of indebtedness, and documents relating to financial aid.</p> <p>Student records maintained by the institution did not contain an executed enrollment agreement pursuant to CEC §94902(a), which states, “A student shall enroll solely by means of executing an enrollment agreement. The enrollment agreement shall be signed by the student and by an authorized employee of the institution.” Voucher student files showed students enrolled through a local WIOA or TAA program did not contain enrollment agreements</p> <p>Student records maintained by the institution did not contain a signed School Performance Fact Sheet (SPFS) pursuant to CEC §94902(b)(3) and §94912. Jian Li stated a SPFS is provided to the student, but not signed or dated by the student.</p> <p>CEC §94902(b)(3) states, “Prior to the execution of the enrollment agreement, the student and the institution have signed and dated the information required to be disclosed in the Student Performance Fact Sheet pursuant to subdivisions (a) to (d), inclusive, of Section 94910. Each of these items in the Student Performance Fact Sheet shall include a line for the student to initial and shall be initialed and dated by the student.”</p> <p>To remedy this violation, the institution shall submit with their NTC response, documentation of an established policy and procedure requiring all documents signed by the student, including the signed SPFS, signed enrollment agreement, signed financial aid documents, and all other documents requiring a student signature shall be maintained in the student’s file or as an institutional record.</p> <p>Documentation of compliance shall be submitted with the institution’s response to the NTC and the last page of this document by February 22, 2018.</p>
12	<p>5, CCR §71920. Student Records.</p>	<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>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 in each student file. Student files did not contain financial ledgers.</p>

		<p>To remedy this violation, the institution shall submit with their NTC response documentation of an established policy and procedure requiring a document showing to total amount of money received from or on behalf of the student and the date or dates on which the money was received be maintained in each student's file.</p> <p>The records correction shall be submitted with the institution's response to the NTC and the last page of this document by February 22, 2018.</p>
13	<p>5, CCR §71920. Student Records.</p>	<p>(b) In addition to the requirements of section 94900, the file shall contain all of the following pertinent student records:</p> <p>(10) A document specifying the amount of a refund, including the amount refunded for tuition and the amount for other itemized charges, the method of calculating the refund, the date the refund was made, and the name and address of the person or entity to which the refund was sent.</p> <p>The institution did not maintain withdrawn student files which contain a document specifying the amount of refund obligated to the student, including the amount refunded for tuition and other itemized charges, the method of calculating the refund, and the date the refund was made, and the name and address of the person or entity to which the refund was sent.</p> <p>To remedy this violation, the institution shall provide with their NTC response documentation of the institution's established policy and procedure for calculating and issuing accurate refunds to students and maintaining that documentation in each withdrawn student's file. The documentation shall include the amount of refund obligated to the student, including the amount refunded for tuition and other itemized charges, the method of calculating the refund, and the date the refund was made, and the name and address of the person or entity to which the refund was sent.</p> <p>The NTC correction shall be submitted with the institution's response to the NTC and the last page of this document by February 22, 2018.</p>

INSTITUTIONAL RECORDS

	Education Code (CEC) or Code of Regulations (5, CCR)	Subsection, Description, and Required Correction
14	<p>CEC §94900.5. Required Institutional Records.</p>	<p>An institution shall maintain, for a period of not less than five years, at its principal place of business in this state, complete and accurate records of all of the following information:</p> <p>(b) The names and addresses of the members of the institution's faculty and records of the educational qualifications of each member of the faculty.</p>

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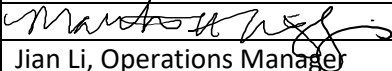

		<p>The institution did not provide documentation of faculty records containing documentation of the completion of continuing education required by 5, CCR §71720(b)(2).</p> <p>To remedy this violation, the institution shall submit with their NTC response documentation of the institution's established policy and procedure for maintaining each instructor's continuing education completion.</p> <p>The records of correction shall be submitted with the institution's response to the NTC and the last page of this document by February 22, 2018.</p>
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MISCELLANEOUS


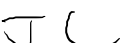
	Education Code (CEC) or Code of Regulations (5, CCR)	Subsection, Description, and Required Correction
15	5, CCR §71720. Faculty.	<p>(b) Instructors in an Educational Program Not Leading to a Degree. (2) Each instructor shall maintain their knowledge by completing continuing education courses in his or her subject area, classroom management or other courses related to teaching.</p> <p>The institution did not have an employee policy requiring instructors to maintain their knowledge by completing continuing education in his or her subject area, classroom management, or other courses related to teaching.</p> <p>To remedy this violation, the institution shall submit with their NTC response an established policy and procedure for faculty maintaining their knowledge by completing continuing education in his or her subject area, classroom management, or other courses related to teaching.</p> <p>The records correction shall be submitted with the institution's response to the NTC and the last page of this document by February 22, 2018.</p>
16	CEC §94902. General Enrollment Requirements.	<p>(a) A student shall enroll solely by means of executing an enrollment agreement. The enrollment agreement shall be signed by the student and by an authorized employee of the institution.</p> <p>Student files showed students enrolled as WIOA or TAA students did not sign an enrollment agreement.</p> <p>To remedy this violation, the institution shall provide submit with their NTC response an established policy and procedure requiring all students enrolled to sign an enrollment agreement. The enrollment agreements shall be signed by the student and an authorized employee at the time of enrollment.</p>

		The records correction shall be submitted with the institution's response to the NTC and the last page of this document by February 22, 2018.
17	CEC §94912. Signature, Initials Required.	<p>Prior to the execution of an enrollment agreement, the information required to be disclosed pursuant to subdivisions (a) to (d), inclusive, of Section 94910 shall be signed and dated by the institution and the student. Each of these items shall also be initialed and dated by the student.</p> <p>The institution did not maintain student files which showed the students received a SPFS prior to signing the enrollment agreement. SPFS were not documented in student files, not initialed, signed and dated by the student.</p> <p>To remedy this violation, the institution shall submit with their NTC response an established policy and procedure requiring all students to receive, review, and initial, sign, and date a SPFS prior to signing an enrollment agreement.</p> <p>The records correction shall be submitted with the institution's response to the NTC and the last page of this document by February 22, 2018.</p>

Only minor violations are listed on this Notice to Comply.

Inspector's Name	Matthew Wiggins
Inspector's Signature	
Institution Administrator Name/Title:	Jian Li, Operations Manager
Institution Administrator's Signature:	

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

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Administrator's Initial: 

RETURN THIS FORM BY FEBRUARY 22, 2018 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 February 22, 2018.

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