

PROCEDURE FOR THE INVESTIGATION OF EDUCATION SERVICE PROVIDER

I: RECEIPT OF A COMPLAINT/ALLEGATION

It is the duty of the Director of Policy and Compliance to review any allegation or complaint against an Education Service Provider. CSF may bar an education service provider from accepting payments from EFAs if the scholarship organization determines that the education service provider has:

- a** Knowing and willfully misrepresented information;
- b** Failed to refund any overpayments within 30 days or failed to process a request for a refund; and
- c** Routinely failed, meaning 3 or more times, to provide students with promised educational goods or services;

Reporting Entity - CSF Team Member

If a CSF team member suspects intentional or substantial misrepresentation, failure to provide goods or services, or the failure to refund an overpayment to an EFA account in a timely manner (within 30 days), the team member shall immediately contact the Director of Policy and Compliance or the NH Executive Director ("Director"). The Director will meet with the team member to obtain all relevant information.

Reporting Entity - Third Party Reporters

If the scholarship organization is notified by a third party or parent, the Director will obtain all relevant information from the individual making the allegation or complaint. At a minimum, the scholarship organization must identify the nature of the complaint, the name/s of the organization or individual/s believed to be involved, and copies of all relevant documentation.

II: INITIAL ASSESSMENT

The Director will review each allegation or complaint to determine whether or not there is a basis to investigate the issue/s identified in the complaint further. If an allegation is found to have merit, the Director of Policy and Compliance will launch an investigation which may involve more complex analyses of processes, extensive tests of records, and follow-up interviews. The EFA account will be suspended pending the resolution of the investigation.

- If an allegation is invalid and or without merit, the report will be closed.
- The scholarship organization will generally limit its investigations to situations involving loss or intentional misuse of EFA funds or other types of misuse that may have occurred.
- The scholarship organization will document and report any such cases of repeated, clearly frivolous, or abusive complaints.

III: INVESTIGATION

The goals of an investigation are to determine if the allegations are valid, then to identify control weaknesses or breakdowns in procedure that allowed the situation and any related problems to occur, determine the extent of any loss, and recommend corrective action to prevent the situation from recurring. All Investigations must be conducted in a confidential manner and with respect for the rights of the individual/s and entities involved.

The provider will be given the opportunity to respond to any allegation or complaint brought against it including the opportunity to provide any and all documentation to support its response.

The type of investigative procedures used will depend on the nature of the complaint and the results of the preliminary review. The investigation may close with the preliminary review if the review shows the allegations are not valid, or if the issues are minor/unintentional and can be resolved through meetings with the EFA holder and the provider.

IV. INVESTIGATION REPORTING

The Director shall present a report of their findings to the Executive Director at the conclusion of the investigation.

If a determination to bar the provider from the EFA program has been made:

1. The provider shall receive notice in writing.
2. CSF shall notify parents/guardians within 5 days.
3. CSF shall notify the Department within 5 days.
4. The provider shall be removed from the EFA Approved Provider List.

V: PROCEDURE FOR APPEAL

If a provider has been barred from participating in the EFA program, the provider may appeal this decision with the New Hampshire Department of Education.

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