

# SOUTHWESTERN

## LAW SCHOOL

### Los Angeles, CA

## Self-Monitoring and Compliance with BPPE Regulations

**Administrative policy approved September 2024.**

**Revision history:** Technical revisions made in July 2025.

**Related policies:** Posting Southwestern Policies; Student Concerns Policy

**Scheduled Review Date:** June 2026 (Compliance Coordinator)

### A. Introduction

Southwestern Law School is committed to maintaining full compliance with all applicable regulations set forth by the California Bureau for Private Postsecondary Education (BPPE) under the California Private Postsecondary Education Act of 2009 and the California Code of Regulations Title 5, Division 7.5. As an institution dedicated to excellence in legal education, Southwestern recognizes the importance of self-monitoring, strong governance, and internal accountability to provide an outstanding educational environment and ensure ongoing adherence to relevant state regulations.

### B. Compliance Coordinator

Southwestern's Compliance Coordinator, identified in Section D below, oversees compliance-related activities and, in cooperation with the President & Dean and other senior leaders, ensures that the institution adheres to BPPE regulations. The Compliance Coordinator plays a central role in managing the institution's self-monitoring and compliance processes, facilitating communication between internal departments and regulatory agencies, and ensuring continuous adherence to relevant state laws and standards.

### C. Responsibilities

The Compliance Coordinator's responsibilities include, but are not limited to:

1. **Monitoring Regulatory Updates:** Subscribing to BPPE notifications; monitoring for regulatory changes; ensuring timely dissemination of new policies or amendments; and alerting senior leadership about issues, changes, and other important matters.

2. **Internal Audits and Reviews:** Conducting regular compliance audits to ensure adherence to BPPE regulations; documenting and communicating findings to appropriate Southwestern officials; and implementing corrective actions as needed.
3. **Risk Assessment Procedures:** Establishing a process for identifying potential BPPE compliance risks; scheduling regular risk assessments and documenting findings; and implementing mitigation strategies to address identified risks.
4. **Compliance Reporting:** Preparing and submitting required reports to the BPPE, including annual reports, Student Tuition Recovery Fund (STRF) assessments, and other compliance documentation.
5. **Incident Response Plan:** Establishing procedures for addressing compliance violations, including reporting mechanisms for employees, students, and prospective students, investigative processes, as needed, and steps to promptly rectify issues.
6. **Training and Education:** Attending BPPE Advisory Committee meetings, BPPE workshops, and other training opportunities regularly and organizing and conducting regular training sessions for staff to ensure ongoing awareness of compliance requirements and regulatory changes.
7. **Stakeholder Communication and Coordination:** Serving as the primary liaison between Southwestern and the BPPE; ensuring effective communication regarding inspections, audits, and regulatory inquiries; and communicating compliance updates to relevant Southwestern stakeholders.
8. **Recordkeeping and Documentation:** Ensuring that all necessary records are properly maintained and readily accessible for review upon request.
9. **Coordinating with Leadership:** Meeting regularly with the President & Dean and other senior leaders to discuss ongoing compliance matters; providing timely updates on BPPE policies and procedures, trainings, and audits.
10. **Continuous Improvement:** Establishing a plan for periodic reviews and updates to this policy and other policies related to BPPE compliance; ensuring adherence to the plan.
11. **BPPE Inspection and Investigation Readiness:** Working with key stakeholders to maintain readiness for BPPE inspections and investigations, including maintaining updated documentation and preparing staff for potential audit scenarios.

**D. Contact Information**

The current Compliance Coordinator is:

Bradley Yost, Assistant Director of Accreditation Reporting and Compliance

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Phone: 323-738-6769

**E. Policy Revisions**

Southwestern expressly reserves the right to change or modify any aspect of this policy at any time, with or without notice.