

# TUSKEGEE UNIVERSITY

## **University Policy: Substantive Change**

**Policy Category:** SACSCOC Accreditation

**Subject:** SACSCOC Substantive Change

**Office Responsible for Review of this Policy:** University community

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### **I. SCOPE**

This policy applies to all university officers who can initiate, modify, review, approve, and allocate resources to any changes, including those to academic and non-academic programs and activities that may be considered a substantive change according to latest revision of SACSCOC Policy for Substantive Changes for Accredited Institutions. Within academic areas, such changes can originate with (1) individual or groups of faculty members, (2) department committees, (3) Department Heads, (4) Deans and Associate Deans, (5) Provost, (6) Faculty Senate, or (7) any other area reporting to the Provost.

In those areas outside the Division of Academic Affairs, potential substantive changes may arise in (1) individual units, (2) among supervisors/directors in each area, (3) executive council members, and (4) university council members. Further, the need for a potential substantive change may come to the attention of the President or the SACSCOC Accreditation Liaison.

### **II. POLICY STATEMENT**

In order to meet the commitment undertaken by virtue of its membership to SACSCOC and its reaffirmation of accreditation, it is the policy of Tuskegee University to demonstrate continuing compliance with the Principles of Accreditation: Foundations for Quality Enhancement by adhering to all standards, requirements, policies and procedures associated with the definition and scope of a substantive change and located in the most recent revised SACSCOC Policy for Substantial Changes for Accredited Institutions.

If a substantive change has been inadvertently implemented without notification to the SACSCOC accreditation liaison, the appropriate designee has the responsibility to notify the SACSCOC accreditation liaison immediately. The SACSCOC accreditation liaison is then responsible for notifying SACSCOC of the change as provided in the current version of the SACSCOC substantive change policy. The Provost, vice presidents, deans, and/or directors should conduct an annual review of their internal operating procedures to ensure reporting of future substantive change proposals.

The vice presidents, associate and assistant vice presidents, deans and directors should recognize that if the university fails to follow the current version of the SACSCOC substantive change policy and procedures, it may lose its Title IV funding, be prohibited from receiving federal contracts and grants or be required by the U.S. Department of Education to reimburse it for money received by the institution for programs related to the unreported substantive change. In

addition, the institution's case may be referred to SACSCOC Board of Trustees for the imposition of a sanction or for removal from membership.

### **III. PURPOSE**

The purpose of this policy is to establish the requirements, procedures and processes necessary to ensure timely coordination and notification of substantive changes involving Tuskegee University to the university's regional accrediting body, the Southern Association of Colleges and Schools, Commission on Colleges (SACSCOC).

### **IV. TO WHOM THIS POLICY APPLIES**

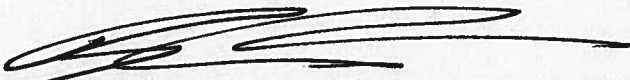
This policy applies to the entire University community.

### **V. EFFECTIVE DATE**

This policy is effective immediately.

### **VI. SIGNATURE, DATE, AND APPROVAL**

Approved:

A handwritten signature in black ink, appearing to read 'Brian L. Johnson', is written over a horizontal line.

Brian L. Johnson, PhD  
President

Date Approved:

# TUSKEGEE UNIVERSITY

## SUBSTANTIVE CHANGE POLICY

### OVERVIEW

A substantive change is a significant modification or expansion of the nature and scope of an accredited institution. SACSCOC is required by the federal government to monitor the compliance of its member colleges and universities with the substantive change policy and to grant permission for major changes to occur. The SACSCOC Board of Trustees requires notification of substantive changes as a condition of accreditation (CS3.12.1) and, in some cases, approval prior to implementation. This policy and its procedures address substantive changes identified through federal regulations and the SACSCOC Board of Trustees. Under federal regulations, substantive change includes:

- Any change in the established mission or objectives of the institution
- Any change in legal status, form of control, or ownership of the institution
- The addition of courses or programs that represent a significant departure, either in content or method of delivery, from those that were offered when the institution was last evaluated
- The addition of courses or programs of study at a degree or credentialed level different from that which is included in the institution's current accreditation or reaffirmation
- A change from clock hours to credit hours
- A substantial increase in the number of clock or credit hours awarded for successful completion of a program
- The establishment of an additional location geographically apart from the main campus at which the institution offers at least 50% of an educational program
- The establishment of a branch campus
- Closing a program, off-campus site, branch campus or institution
- Entering into a collaborative academic arrangement that includes only the initiation of a dual or joint academic program with another institution
- Acquiring another institution or a program or location of another institution
- Adding a permanent location at a site where the institution is conducting a teach-out program for a closed institution
- Entering into a contract by which an entity not eligible for Title IV funding offers 25% or more of one or more of the accredited institution's programs

There are two procedures established by SACSCOC for addressing the different types of substantive changes.

- Procedure One for the review of Substantive Changes requiring notification followed by submission of a prospectus examples include:
  - Expanding at current degree level (significant departure from current programs)
  - Offering 50% or more of at least one program's credits at a new off-campus instructional site – **including a dual enrollment high school site**
  - Initiating a branch campus
  - Initiating certificate programs that are significant departures from previously approved programs
  - Initiating a joint degree with an institution not accredited by SACSCOC
  - Relocating a main or branch campus



- **Procedure Two** for Review of Substantive Changes Requiring Only Notification Prior to Implementation but do not automatically require submission of a prospectus examples include:
  - Initiate an off-campus site – **including a dual-enrollment high school site** – at which a student may earn at least 25% but less than 50 percent of credits toward a program (*please be sure to include the street address and starting date*)
  - Move an approved off-campus instructional site within the same geographic area to serve essentially the same pool of students. The letter of notification must include the address of the old site, the address of the new site, and the starting date of the new site.
  - Offer for the first time credit courses via distance learning/technology-based instruction by which students can obtain at least 25% but less than 50% of their credits towards an educational program.
  - Initiate programs/courses delivered through contractual agreement or a consortium. This provision *does not apply* to articulation agreements with other institutions, clinical agreements, or internship agreements.
  - Enter into a contract with an entity not certified to participate in USDOE Title IV programs if the entity provides less than 25% of an educational program offered by the accredited institution. A copy of the signed agreement must be provided.
  - Repackage existing approved curriculum to create a new degree level, such as an institution that offers a full 120-hour baccalaureate program creating an associate degree from its lower-division offerings.
  - Initiate a dual degree program with another SACSCOC-approved institution.

## TUSKEGEE UNIVERSITY SUBSTANTIVE CHANGE PROCESS

The following steps for determining and reporting substantive change is required to be adhered to by all faculty, staff, and administrators at all times:

- STEP 1:** Faculty or staff considering change notifies department head or director regarding the change. The department head/director/dean notifies the accreditation liaison immediately.
- If any member of the faculty or staff are planning a change such as those listed in the table on page 14 they are to immediately contact their department head, director or dean. The department head, director or dean then contacts the accreditation liaison immediately for further guidance. If the institutional liaison becomes aware of a potential change through committee functions, council meetings, or another avenue of information dissemination, the liaison will immediately contact the chair of that department involved in the proposed change and provide guidance related to the next steps.*
- STEP 2:** The department head/director/dean completes a substantive change application. Employees are directed to the accreditation webpage to complete a SACSCOC Substantive Change application (Exhibit "A" page 6) related to the change under consideration. Completion of the application assists the institutional accreditation liaison in determining the proper course of action related to the potential change.

- STEP 3:** Institutional accreditation liaison determines if proposed change constitutes substantive change according to SACSCOC Policy  
*Once the institutional accreditation liaison has determined that the change proposed fits the definition of a substantive change as depicted by SACSCOC Policy, the liaison will determine the documentation required for submission to the Commission.*
- STEP 4:** Institutional accreditation liaison contacts department head/director/dean to discuss required documentation  
*The institutional accreditation liaison works directly with the department head/director/dean or designee to gather data necessary to complete the documentation required by SACSCOC.*
- STEP 5:** Documentation is prepared by the institutional accreditation liaison in accordance with SACSCOC Policy  
*If a prospectus is required, the department head/director/dean or designee will work in conjunction with the liaison to complete the document according to the timelines listed in the table on page 14. The prospectus will have a TU Substantive Change Routing Approval Form (Exhibit "B" page 8) which will be required to be signed by designated TU officials for notification and approvals.*
- STEP 6:** The institutional accreditation liaison will notify the Commission in writing according to SACSCOC preferred methods.

All questions concerning if a change is substantive or not should be directed to the institutional accreditation liaison for guidance. All substantive change activities are documented through a database maintained by the institutional accreditation liaison.

Specifications of timelines for notification and means of requesting approval is can be found in the table on page 14. Should SACSCOC choose to modify its substantive change policy, university personnel will be notified via email by the institutional accreditation liaison and the university policy will be updated to reflect compliance with SACSCOC Policy.

### **TUSKEGEE UNIVERSITY SUBSTANTIVE CHANGE INFORMATIVE/DISTRIBUTION PROCESS**

The Provost, Vice Presidents, Deans, and Directors have a vital responsibility to be aware of the University's substantive change policy and to assure that their staff adhere to this policy. This policy will be posted on the University's accreditation webpage and the University's Policy webpage located on the University's website.

The Tuskegee University SACSCOC Liaison will distribute copies of the Tuskegee University Substantive Change Policy and Procedure to the Vice Presidents, Deans and Directors annually as well as immediately after any change in policy and procedure has been approved. The Tuskegee University SACSCOC Liaison will also update the substantive change policy posting on the Tuskegee University accreditation webpage.



TUSKEGEE UNIVERSITY

EXHIBIT "A"

## SACSCOC SUBSTANTIVE CHANGE APPLICATION

*The University must notify its accrediting body of any potential substantive change before the change is implemented. A substantive change is a "significant modification or expansion" and includes offering coursework or programs at a more advanced level, initiating joint degrees, and proposing programs/courses through a contract agreement or consortium.*

*Please complete the application below and return to the SACSCOC Liaison to determine whether the change you are proposing is a substantive change.*

*\*Adapted from a survey designed for Baylor University Institutional Research & Testing*

1. Name of person responsible:

2. Name of department responsible:

3. Brief description of proposed change:

4. Will coursework or programs be offered at a more advanced level than currently approved?
- ☐ Yes
- ☐ No
5. Will the initiative expand programs at the current degree level? For example, offering a new master's or doctoral degree in an area significantly different to existing programs.
- ☐ Yes
- ☐ No

6. Are a number of new faculty required?
- ☐ Yes
- ☐ No
7. Are a number of new courses required?
- ☐ Yes
- ☐ No
8. Are distance learning courses offered?
- ☐ Yes
- ☐ No
9. Will the program be offered at an off-campus or foreign site?
- ☐ Yes
- ☐ No
10. Will the program/courses be offered through a contractual agreement, institutional collaboration, or consortium?
- ☐ Yes
- ☐ No









*Southern Association of Colleges and Schools  
Commission on Colleges  
1866 Southern Lane  
Decatur, Georgia 30033-4097*

## **SUBSTANTIVE CHANGE FOR SACSCOC ACCREDITED INSTITUTIONS**

### **Policy Statement**

#### **Institutional Obligations:**

1. Member institutions are required to notify the Southern Association of Colleges and Schools Commission on Colleges (SACSCOC) of changes in accordance with the substantive change policy and, when required, seek approval prior to the initiation of changes.
2. Member institutions are required to have a policy and procedure to ensure that all substantive changes are reported to the Commission in a timely fashion.

**Definition:** Substantive change is a significant modification or expansion of the nature and scope of an accredited institution. Under federal regulations, substantive change includes

- Any change in the established mission or objectives of the institution
- Any change in legal status, form of control, or ownership of the institution
- The addition of courses or programs that represent a significant departure, either in content or method of delivery, from those that were offered when the institution was last evaluated
- The addition of courses or programs of study at a degree or credential level different from that which is included in the institution's current accreditation or reaffirmation.
- A change from clock hours to credit hours
- A substantial increase in the number of clock or credit hours awarded for successful completion of a program
- The establishment of an additional location geographically apart from the main campus at which the institution offers at least 50% of an educational program.
- The establishment of a branch campus
- Closing a program, off-campus site, branch campus or institution
- Entering into a collaborative academic arrangement that includes only the initiation of a dual or joint academic program with another institution
- Acquiring another institution or a program or location of another institution
- Adding a permanent location at a site where the institution is conducting a teach-out program for a closed institution
- Entering into a contract by which an entity not eligible for Title IV funding offers 25% or more of one or more of the accredited institution's programs

The SACSCOC Board of Trustees has approved additional substantive changes that require notification and, in some cases, approval prior to implementation. This policy and its procedures address substantive changes identified through Federal regulations and Board approval.

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## **Glossary of Terms**

**Branch campus** - a location of an institution that is geographically apart and independent of the main campus of the institution. A location is independent of the main campus if the location is

- permanent in nature
- offers courses in educational programs leading to a degree, certificate, or other recognized educational credential
- has its own faculty and administrative or supervisory organization and
- has its own budgetary and hiring authority

**Contractual Agreement** – typically is one in which an institution enters an agreement for receipt of courses/programs or portions of courses or programs (i.e., clinical training internships, etc.) delivered by another institution or service provider.

**Consortial Relationship** - A consortial relationship typically is one in which two or more institutions share in the responsibility of developing and delivering courses and programs that meet mutually agreed upon standards of academic quality.

**Correspondence education** - a formal educational process under which the institution provides instructional materials, by mail or electronic transmission, including examinations on the materials, to students who are separated from the instructor. Interaction between the instructor and the student is limited, is not regular and substantive, and is primarily initiated by the student; courses are typically self-paced.

**Degree completion program** – a program typically designed for a non-traditional undergraduate population such as working adults who have completed some college-level course work but have not achieved a baccalaureate degree. Students in such programs may transfer in credit from courses taken previously and may receive credit for experiential learning. Courses in degree completion programs are often offered in an accelerated format or meet during evening and weekend hours, or may be offered via distance learning technologies.

**Direct Assessment Competency-Based Educational Programs** - Federal regulations define a direct assessment competency-based educational program as an instructional program that, in lieu of credit hours or clock hours as a measure of student learning, uses direct assessment of student learning relying solely on the attainment of defined competencies, or recognizes the direct assessment of student learning by others. The assessment must be consistent with the accreditation of the institution or program using the results of the assessment.

**Distance education** - a formal educational process in which the majority of the instruction (interaction between students and instructors and among students) in a course occurs when students and instructors are not in the same place. Instruction may be synchronous or asynchronous. A distance education course may use the internet; one-way and two-way transmissions through open broadcast, closed circuit, cable, microwave, broadband lines, fiber optics, satellite, or wireless communications devices; audio conferencing; or video cassettes, DVD's, and CD-ROMs if used as part of the distance learning course or program.

**Dual degree** – separate program completion credentials each of which bears only the name, seal, and signature of the institution awarding the degree to the student.

**Educational program** – a coherent course of study leading to the awarding of a credential (i.e., a degree, diploma or certificate).

**Geographically separate** - an instructional site or branch campus that is located physically apart from the main campus of the institution.

**Joint degree** - a single program completion credential bearing the names, seals, and signatures of each of the two or more institutions awarding the degree to the student.



**Modified prospectus** - a prospectus submitted in lieu of a full prospectus for certain designated substantive changes. When a modified prospectus is acceptable, the Commission specifies requested information from the institution.

**Notification** - a letter from an institution's chief executive officer, or his/her designated representative, to SACSCOC President summarizing a proposed change, providing the intended implementation date, and listing the complete physical address if the change involves the initiation of an off-campus site or branch campus. The policy and procedures for reporting and review of institutional substantive change are outlined in the document "Substantive Change for Accredited Institutions of the Commission on Colleges."

**Significant departure** - a program that is not closely related to previously approved programs at the institution or site or for the mode of delivery in question. To determine whether a new program is a "significant departure," it is helpful to consider the following questions:

- What previously approved programs does the institution offer that are closely related to the new program and how are they related?
- Will significant additional equipment or facilities be needed?
- Will significant additional financial resources be needed?
- Will a significant number of new courses will be required?
- Will a significant number of new faculty members will be required?
- Will significant additional library/learning resources be needed?

**Teach-out agreement** - a written agreement between institutions that provides for the equitable treatment of students and a reasonable opportunity for students to complete their program of study if an institution, or an institutional location that provides 50% or more of at least one program offered, ceases to operate before all enrolled students have completed their program of study. This applies to the closure of an institution, a site, or a program. Such a teach-out agreement requires SACSCOC approval in advance of implementation.

**Teach-out plan** - a written plan developed by an institution that provides for the equitable treatment of students if an institution, or an institutional location that provides 50% or more of at least one program, ceases to operate before all students have completed their program of study, and may include, if required by the institution's accrediting agency, a teach-out agreement between institutions. This applies to the closure of an institution, a site, or a program. Teach-out plans must be approved by SACSCOC in advance of implementation.

## The Policy

### ***Commission Responsibilities***

The Southern Association of Colleges and Schools Commission on Colleges (SACSCOC) accredits an entire institution and its programs and services, wherever they are located or however they are delivered. It is responsible for reviewing all substantive changes that occur between an institution's decennial reviews, determining whether the changes have affected the quality of the total institution, and assuring the public that all aspects of the institution continue to meet defined standards.

SACSCOC is recognized by the U.S. Department of Education as an agency whose accreditation enables its member institutions to seek eligibility to participate in Title IV programs. To maintain its recognition with the U.S. Department of Education, SACSCOC has incorporated federal requirements into its substantive change policy and procedures. Some of those requirements specify that an institution seek and receive approval prior to the initiation of a substantive change so that the change can be included in the institution's scope of accreditation.

### ***Institutional Responsibilities***

It is the responsibility of an institution to follow SACSCOC substantive change procedures and inform SACSCOC of substantive changes as specified in those procedures. If an institution is unclear as to whether a change is substantive in nature, it should contact SACSCOC staff for consultation. SACSCOC accredits institutions, not systems. While a system may provide SACSCOC with important information regarding changes planned or underway at its institutions, **it is expected that each institution will follow the reporting requirements of the substantive change policy.**

### ***Procedures for Reporting: An Overview***

There are three procedures for addressing the different types of substantive changes included in this document:

- Procedure One for the Review of Substantive Changes Requiring ***Notification and Approval Prior to Implementation***
- Procedure Two for the Review of Substantive Changes Requiring ***Only Notification Prior to Implementation***
- Procedure Three for Closing a Program, Site, Branch Campus or Institution.

Procedures for the following types of changes are included in a separate document, "Mergers, Consolidations, Change of Ownership, Acquisitions, and Change of Governance, Control, Form, or Legal Status."

- initiating mergers or consolidations
- acquiring any program or site from another institution
- adding as a permanent location any site where the institution is conducting a teach-out for students of another institution that is closing
- changes in governance, ownership, means of control or legal status

Procedures for approval of direct assessment competency-based education programs are in a separate document, "Direct Assessment Competency-Based Educational Programs."

The initiation or revision of programs not offered for academic credit and that are not eligible for federal financial aid does not require reporting; however, such programs are subject to review at the time of reaffirmation.

### Reporting the Various Types of Substantive Change

The different types of substantive change, the specific procedure to be used for each, their respective approval/notification requirements, and their reporting time lines are included in the table that follows. Please read the full text under the appropriate procedure for details regarding reporting.

Types of Change	Procedure	Prior Notification Required	Time Frame for Contacting COC	Prior Approval Required	Documentation
Initiating coursework or programs at a different level than currently approved	1	NA	NA	Yes	Application for Level Change  Due dates: April 8 or September 15
Expanding at current degree level ( <i>significant departure from current programs</i> )	1	Yes	6 months	Yes	Prospectus
Initiating a branch campus (See definition of "branch campus" on p. 3 of this document.)	1	Yes	6 months	Yes	Prospectus
Relocating a main or branch campus	1	Yes	6 months	Yes	Prospectus
Moving an off-campus instructional site (serving the same geographic area)	2	Yes	Prior to implementation	NA	Letter of notification with new address and starting date
Initiating degree completion programs	1	NA	NA	Yes	Prospectus
Initiating a certificate program at employer's request and on short notice					
...using existing approved courses	NA	NA	NA	NA	NA
...at a new off-campus site (previously approved program)	1	NA	NA	Yes	Modified prospectus
...that is a significant departure from previously approved programs	1	Yes	Approval required prior to implementation	Yes	Modified prospectus



Types of Change	Procedure	Prior Notification Required	Time Frame for Contacting COC	Prior Approval Required	Documentation
Initiating other certificate programs					
...using existing approved courses	NA	NA	NA	NA	NA
...at a new off-campus site (previously approved program)	1	NA	NA	Yes	Prospectus
...that is a significant departure from previously approved programs	1	Yes	6 months	Yes	Prospectus
Altering significantly the educational mission of the institution	1	NA	NA	Yes	Contact Commission Staff (Also see page 16, item 9)
Initiating joint or dual degrees with another institution: (See <a href="#">"Agreements Involving Joint and Dual Academic Awards"</a> policy)					
Joint Programs: with another SACSCOC accredited institution	2	Yes	Prior to implementation	NA	Copy of signed agreement and contact information for each institution
Joint Programs: with an institution not accredited by SACSCOC	1	Yes	6 months	Yes	Prospectus
Dual Programs	2	Yes	Prior to implementation	No	Copy of signed agreement and contact information for each institution
Initiating off-campus sites (including Early College High School and dual enrollment programs offered at the high school)					
Student can obtain 50% or more credits toward program	1	NA	NA	Yes	Prospectus
...Student can obtain 25-49% of credit	2	Yes	Prior to implementation	NA	Letter of notification
...Student can obtain 24% or less	NA	NA	NA	NA	NA

Types of Change	Procedure	Prior Notification Required	Time Frame for Contacting COC	Prior Approval Required	Documentation
Expanding program offerings at previously approved off-campus sites					
...Adding approved programs that ARE NOT significantly different from current programs at the site	NA	NA	NA	NA	NA
...Adding approved programs that ARE significantly different from current programs at the site but NOT at the institution	NA	NA	NA	NA	NA
Adding programs that ARE significantly different from current programs at the site AND at the institution	1	Yes	6 months	Yes	Prospectus
Altering significantly the length of a program	1	NA	NA	Yes	Modified Prospectus
Changing from clock hours to credit hours	1	NA	NA	Yes	Justify reasons for change, indicate calculation of equivalency, and other pertinent information
Initiating a direct assessment competency-based program	See SACSCOC Policy " <a href="#">Direct Assessment Competency-Based Educational Programs</a> "	Yes	6 months	Yes	Submit "Screening Form" with letter of notification. If Prospectus is required, due dates: April 8 or September 15.
Initiating distance learning...					
Offering 50% or more of a program <u>for the first time</u>	1	NA	NA	Yes	Prospectus
...Offering 25-49%	2	Yes	Prior to implementation	No	Letter of notification
...Offering 24% or less	NA	NA	NA	NA	NA
Initiating programs or courses offered through contractual agreement or consortium	2	Yes	Prior to implementation	NA	Letter of notification and copy of signed agreement



Types of Change	Procedure	Prior Notification Required	Time Frame for Contacting COC	Prior Approval Required	Documentation
Entering into a contract with an entity not certified to participate in USDOE Title IV programs					
...if the entity provides 25% or more of an educational program offered by the COC accredited institution	1	NA	NA	Yes	Prospectus
...if the entity provides less than 25% of an educational program offered by the COC accredited institution	2	Yes	Prior to implementation	NA	Copy of the signed agreement
Initiating a merger/consolidation with another institution	See SACSCOC policy " <a href="#">Mergers, Consolidations, Change of Ownership, Acquisitions, and Change of Governance, Control, Form, or Legal Status</a> "	Yes	6 months	Yes	Prospectus Due dates: April 8 or September 15
Changing governance, ownership, control, or legal status of an institution	See SACSCOC policy " <a href="#">Mergers, Consolidations, Change of Ownership, Acquisitions, and Change of Governance, Control, Form, or Legal Status</a> "	Yes	6 months	Yes	Prospectus Due dates: April 8 or September 15
Acquiring any program or site from another institution	See SACSCOC policy " <a href="#">Mergers, Consolidations, Change of Ownership, Acquisitions, and Change of Governance, Control, Form, or Legal Status</a> "	Yes	6 months	Yes	Prospectus
Adding a permanent location at a site where the institution is conducting a teach-out for students from another institution that is closing	See SACSCOC policy " <a href="#">Mergers, Consolidations, Change of Ownership, Acquisitions, and Change of Governance, Control, Form, or Legal Status</a> "	Yes	6 months	Yes	Prospectus



<b>Types of Change</b>	<b>Procedure</b>	<b>Prior Notification Required</b>	<b>Time Frame for Contacting COC</b>	<b>Prior Approval Required</b>	<b>Documentation</b>
Closing a program, approved off-campus site, branch campus, or institution					
...Institution to teach out its own students	3	Yes	Immediately following decision to close	Yes	Description of teach-out plan included with letter of notification
...Institution contracts with another institution to teach-out students (Teach-out Agreement)	3	Yes	Immediately following decision to close	Yes	Description of teach-out plan, copy of signed teach-out agreement detailing terms included with notification

## **Required Committee Visits**

The following six types of substantive changes require on-site committee reviews within six months after implementation:

1. The initiation of an additional off-campus site/location at which a student can earn at least 50% of the credit toward an educational program, if any of the following applies: (a) the institution has a total of three or fewer additional locations, or (b) the institution has not demonstrated, to the satisfaction of SACSCOC, that it has a proven record of effective educational oversight of additional locations, or (c) the institution has been placed on sanction by SACSCOC or is subject to some limitation on its accreditation, or (d) the institution has been accredited by SACSCOC for less than ten years.

SACSCOC will conduct visits to the first three off-campus locations initiated by an institution that offer 50% or more of the credit for at least one program.

When an institution initiates its fourth off-campus site/location where 50% or more of a program's credits are offered, SACSCOC may, at its discretion, choose not to conduct visits to any of these additional sites at the times of their initiation if the institution has previously demonstrated a record of effective oversight of its off-campus educational locations and has not been placed on sanction. However, SACSCOC will require visits to a representative sample of sites at the fifth-year interval between scheduled reaffirmations if (1) the additional sites have been initiated since the last scheduled reaffirmation and (2) the sites have not been visited.

At any time, SACSCOC may choose to authorize visits to new sites developed between the fifth-year review and the next scheduled reaffirmation of accreditation.

At the time of reaffirmation, SACSCOC will conduct a thorough review of a representative sample of additional locations/sites where a student can obtain 50% or more of course work toward an educational program. The extent of the review will depend, in part, on whether there has been a recent review of the site(s).

2. The initiation of a branch campus. A branch campus is defined as a location of an institution that is geographically apart and independent of the main campus of the institution. A location is independent of the main campus if the location is
  - permanent in nature
  - offers courses in educational programs leading to a degree, certificate, or other recognized educational credential
  - has its own faculty and administrative or supervisory organization and
  - has its own budgetary and hiring authority

If it is determined that a branch campus has sufficient autonomy, the institution may be directed to seek separate accreditation for the unit. (See SACSCOC policy "[Separate Accreditation for Units of a Member Institution](#).")

3. The initiation of a change in governance/ownership with a change in control. (See SACSCOC policy "[Mergers, Consolidations, Change of Ownership, Acquisitions, and Change of Governance, Control, Form, or Legal Status](#).")
4. The initiation of mergers/consolidations. (See SACSCOC policy "[Mergers, Consolidations, Changes of Ownership, Acquisitions, and Change of Governance, Control, Form, or Legal Status](#).")
5. The initiation of coursework, credit certificates, or degree programs at a different level than currently approved by SACSCOC. (Depending on the existing related programs offered by an institution, a committee visit may not be required for institutions moving from Levels III to IV or from Levels V to VI. See level classifications on page 14 of this document.)



6. The initiation of a direct assessment competency-based education program (at least 50% direct assessment)

The President of SACSCOC also is authorized to appoint a Substantive Change Committee to review an institution for any change requiring a more in-depth evaluation beyond the prospectus submitted by the institution. The report of the Substantive Change Committee will be used by the Board of Trustees of SACSCOC to determine the ongoing accreditation of an institution.

### ***Policy Statements Regarding Substantive Change***

1. The [Principles of Accreditation: Foundations for Quality Enhancement](#) applies to all programs and services of SACSCOC-accredited institutions wherever they are located or however they are delivered. Failure to comply with the Principles or with procedures referred to in this policy could result in the institution being placed on sanction or being removed from membership.
2. Denial of approval of substantive change is not appealable. An institution that fails to gain approval of the substantive change may resubmit a revised prospectus or application following the guidelines and time frames described in the Table on pages 6-9 of this document.
3. An accredited institution in the appeals process or in litigation with SACSCOC is not eligible for consideration of substantive change.
4. The SACSCOC substantive change policy applies only to SACSCOC-accredited institutions. Applicant and candidate institutions may not initiate substantive change.
5. Procedures One, Two, and Three may not address all substantive changes that SACSCOC will review in the interim between an institution's reaffirmation cycles. Therefore, the SACSCOC reserves the right to classify significant changes other than those described above as substantive in nature and to follow up accordingly. The follow-up procedure may include a committee visit.
6. An institution may withdraw its prospectus/application or may discontinue substantive change at any time during the review process by submitting a formal letter of withdrawal to the President of SACSCOC.
7. Once an institution submits its prospectus or application and the document is reviewed by either the Committee on Compliance and Reports or by SACSCOC staff, any information included therein that indicates possible non-compliance with any of the Core Requirements or Comprehensive Standards may lead SACSCOC to further review the institution, even if the prospectus is withdrawn or approval of the change is denied.
8. SACSCOC staff review all substantive changes requiring notification prior to implementation and conduct a preliminary review of all changes requiring final approval by the SACSCOC Board of Trustees. All substantive changes described in Procedure One are referred to the Board of Trustees for approval as are the following cases:
  - a proposed substantive change requiring prior approval submitted by an institution currently on sanction. Proposals by an institution on sanction to close a program or an off-site instructional site will be reviewed and, if appropriate, approved by Commission staff.
  - a proposed substantive change submitted by an institution recently removed from sanction with particular attention to those involving non-compliance with Core Requirement 2.11.1 or Comprehensive Standard 3.10.1, both dealing with financial health
  - a proposed substantive change submitted by an institution currently on reimbursement for Title IV federal funding
  - the prospectus of an institution planning a merger/consolidation, change of legal status, governance, ownership or form of control. (See SACSCOC Policy "[Mergers, Consolidations](#),"



Changes of Ownership, Acquisitions, and Change of Governance, Control, Form, or Legal Status.")

- the prospectus for approval of a direct assessment competency-based educational program (50% or more of a program) (See SACSCOC Policy "[Direct Assessment Competency-Based Educational Programs.](#)")
9. If an institution fails to report or to gain approval of a substantive change prior to its implementation and the nature of that change is not described in the list in item 8 above or those listed under Procedure One, the substantive change will be reviewed and, if possible, acted upon by staff. The issue of late submission, however, will be referred to the SACSCOC Board of Trustees for action. If an institution fails to report or to gain approval of a substantive change prior to its implementation and the proposed change is among those included in the list in item 8 above or those listed under Procedure One, both the prospectus/application and the issue of late submission will be referred to the SACSCOC Board of Trustees for action.
  10. All final decisions regarding the accreditation status of an institution are made by the SACSCOC Board of Trustees. Denial of substantive change and the imposition of sanctions are not appealable actions.
  11. Substantive changes of the types described in Procedures One and Two normally will not affect an institution's cycle of reaffirmation of accreditation
  12. Following the approval of a degree level change by the SACSCOC Board of Trustees, an institution may not initiate additional programs at the new degree level until after the Board takes positive action on its continued accreditation following the Substantive Change Committee visit authorized at the time of approval.
  13. The date of the letter of approval of a substantive change is considered the date on which the change is included as part of the institution's accreditation.
  14. Extensive substantive changes by an institution may accelerate the date for the institution's next reaffirmation. Examples of triggers for an accelerated reaffirmation include the following changes: proliferation of branches or off-campus sites, frequent mergers or consolidations with other institutions, significant increases in enrollments, or rapid proliferation of new educational programs.
  15. If an institution fails to follow SACSCOC substantive change policy and procedures, it may lose its Title IV funding or be required by the U.S. Department of Education to reimburse it for money received by the institution for programs related to the unreported substantive change. In addition, the institution's case may be referred to SACSCOC Board of Trustees for the imposition of a sanction or for removal from membership. (See also Appendix A regarding standards and policies addressing unreported substantive change.)
  16. If an institution has educational programs and off-campus instructional sites that are inactive but not closed, the following applies:
    - If an institution does not enroll students in an educational program for five years, then after five years of no students enrolled and no major course offered for the educational program (if that educational program is a significant departure from other educational programs currently offered by the institution), the institution must submit a prospectus to reinstate the educational program prior to admitting students into and offering major courses for the educational program.
    - If an institution does not offer courses or programs at an approved off-campus instructional site for five years, then, after five years of no students enrolled and no courses offered at the off-campus instructional site, the institution must submit a prospectus for approval of the off-campus instructional site to reinstate any educational program at the off-campus instructional site whereby a student can obtain 50 percent or more credits toward any educational program offered by the institution.

The Commission will use information collected on the institution's completed "Institutional Summary Form Prepared for Commission Review," submitted as part of the fifth and decennial year reviews, as the mechanism for reporting the above educational programs and instructional sites that are deemed by the institution to be inactive but not closed.

## ***Fees and Expenses***

1. Denial of approval of substantive change is not appealable. An institution that fails to gain approval of the substantive change may resubmit a revised prospectus or application following the guidelines and time frames described in Procedures One and Two.

The following fees will be assessed to institutions for the review of an application or prospectus:

- \$500 For an institution seeking review of a substantive change prospectus or application for level change
- \$250 Per institution for a collaborative effort between two member institutions seeking review of a single prospectus
- \$175 Per institution for a collaborative effort among three or more member institutions seeking review of a single prospectus
- \$500 Per institution for review of a Category Three collaborative academic arrangement. The SACSCOC accredited institution(s) are responsible for ensuring payment.

2. Fees related to Substantive Change Committee visits

In addition to the fee assessed for reviewing the substantive change prospectus, the following total cost will be assessed to an institution hosting a Substantive Change Committee visit:

The actual cost of the committee  
(Includes travel, lodging, food, and related expenses), **and**

\$2,000 administrative fee

### **Document history:**

*Revised for the Principles of Accreditation: February 2004*

*Adopted: Commission on Colleges, June 2008*

*Revised: Board of Trustees, Commission on Colleges, June 2009, June 2011, December 2011*

*Revised: Executive Council, March 2012 and Board of Trustees, June 2012*

*Revised: Board of Trustees, December 2012, December 2013*

*Updated: June 2014*

*Edited: January 2015*



## PROCEDURE ONE

### The Review of Substantive Changes Requiring Approval Prior to Implementation

#### *Changes Requiring Approval*

Substantive changes requiring submission of an application or a prospectus, and approval by the SACSCOC Board of Trustees prior to implementation by the institution are as follows:

1. **Initiating coursework, certificates, or programs of study at a different level than those previously approved by SACSCOC.** Institutions may not offer individual credit courses or programs beyond the level of current accreditation. Examples include: an associate degree-granting college initiating bachelor's degrees or a four-year institution initiating degrees at the master's level; a graduate institution initiating degrees at the undergraduate level, a baccalaureate degree-granting institution initiating occupational and technical degrees at the associate degree level. An institution requesting a level change should complete an "[Application for Members Seeking Accreditation at a Higher or Lower Degree Level](#)."

**Note: Repackaging of an existing approved curriculum** to create a new degree level, such as an institution that offers a full 120-hour baccalaureate program creating an associate degree from its lower-division offerings, usually requires only advance notification, not approval.

SACSCOC classifies institutions according to the highest degree level offered by an institution. Those classifications are as follows:

Level I	Offers the associate degree as the highest degree
Level II	Offers the baccalaureate degree as the highest degree
Level III	Offers the master's degree as the highest degree
Level IV	Offers the master's and specialist degree as the highest degrees
Level V	Offers three or fewer doctorate degrees as highest degrees
Level VI	Offers four or more doctorate degrees

An institution adding a fourth doctorate degree, causing it to be reclassified from Level V to Level VI, is required to request the level change in writing in order for SACSCOC to reclassify the institution within its data base.

**Applications for a change from Level III to Level IV and Level V to Level VI will be reviewed and, if possible, approved by staff.**

2. **Initiating certificate programs for workforce development.** These are typically offered at the request of an employer, either on campus or at the workplace. Offering previously approved certificate programs at an unapproved off-campus site requires approval of the site prior to implementation. Similarly, offering a certificate program that is a significant departure from existing approved certificate programs, either on or off campus, requires approval of the program prior to implementation. SACSCOC will waive the six-month notification requirement and accept a modified prospectus consisting of the name of the certificate, date of implementation, the complete physical address of the off-campus site (if applicable), a faculty roster, a discipline-specific description of library/learning resources, a description of physical facilities, and descriptions of courses to be offered at the site.
3. **Initiating other certificate programs.** Certificate programs consisting of courses drawn from the existing approved curriculum for a degree or diploma program do not require separate approval; they are considered to be included in the institution's current accreditation. However, to offer such a certificate at a new site requires approval of the site. A certificate that is a significant departure from previously approved programs must be approved in advance—the same as any other new educational program.



4. **Initiating an off-campus (additional) site (site-based/classroom group instruction) at which students can earn at least 50% of the credits toward an educational program.** Locations at which instruction is offered by distance delivery, but students must be present on-site to access such instruction, are considered off-campus instructional sites and must be approved in advance.

Approval of an off-campus site is effective for a maximum of five years and will be reviewed again in the context of the fifth-year or decennial review.

For an institution replicating an approved educational program that is already offered at three or more approved sites, a modified prospectus consisting of a faculty roster, descriptions of the courses to be offered at the site, a description of discipline-specific library resources, a description of student support services, and a description of physical resources will suffice in lieu of responding to the requirements of a full prospectus.

5. **Initiating degree completion programs.** Degree completion programs usually include a compressed format with classes offered evenings or weekends to accommodate working adults, a requirement to transfer in some amount of previous college credit, and may include offering credit for career or life experience. The prospectus should include a discussion of how the degree completion program differs from the same program offered in traditional form, and how the institution will ensure that student learning outcomes are the same for both offerings. An example of such a change is adult or accelerated programs in management or organizational leadership.
6. **Initiating a branch campus.** A branch campus is defined as a location of an institution that is geographically apart and independent of the main campus of the institution. A location is independent of the main campus if the location is (1) permanent in nature, (2) offers courses in educational programs leading to a degree, certificate, or other recognized educational credential, (3) has its own faculty and administrative or supervisory organization, and (4) has its own budgetary and hiring authority. The prospectus for a proposed branch campus must include a business plan for the branch campus that describes:
  - The educational program(s) to be offered at the branch campus;
  - The projected revenues and expenditures and cash flow at the branch campus; and
  - The operation, management, and physical resources at the branch campus.
7. **Initiating distance learning or correspondence courses and programs by which students can earn at least 50% of a program's credits through delivery in a format other than face-to-face.** Institutions must demonstrate that a student who registers for a distance or correspondence course or program is the same student who participates in and completes the course or program and receives academic credit. Means of verification might include a secure login and pass code, proctored examinations, or other technologies and practices that are effective in verifying student identification. Processes used to verify student identity must also protect student privacy. Please see also the SACSCOC policy "[Distance and Correspondence Education](#)."
8. **Expanding at the institution's current degree level** (significant departure from current programs). What constitutes a "significant departure" from existing programs depends on what related programs are currently in place at a given institution. Refer to the Glossary of Terms for more specificity. Examples include the following: developing a new general education program, adding a master's degree in nursing when the institution is accredited at Level III but currently offers only a master's degree in education; an institution accredited at Level II (bachelor's degrees), offering only a bachelor's degree with a major in religion, adding three new bachelor's degrees with majors in biology, business administration, and computer science.
9. **Initiating a significant change in the established mission of the institution.** Significant changes in mission are those that lead to a fundamental shift in the nature of the institution. Examples include the following: the transformation of a technical college into a comprehensive community college, the initiation by a seminary of significant liberal arts offerings, the addition by a medical college of general education offerings, the initiation of an engineering school at a liberal arts institution. Editorial changes in the language of a mission statement are not substantive and need not be reported. See Commission staff regarding the prospectus. The change in mission may dictate a mix of required documentation.



10. **Changing from clock hours to credit hours.** The prospectus must include a clear explanation of the formula used to calculate equivalency of credit awarded. Please see also the SACSCOC policy "[Credit Hours](#)."
11. **Changing significantly the length of a program, substantially increasing or decreasing the number of clock or credit hours awarded for successful completion of a program.** Significant changes in program length are those with noticeable impact on the program's completion time. Examples include the following: expanding a certificate program from 250 contact hours to 450 contact hours; increasing a baccalaureate degree from 124 hours to 150 hours.
12. **Relocating a main or branch campus.** The prospectus should demonstrate that the new facilities maintain the institution's compliance with Comprehensive Standard 3.11.
13. **Initiating a collaborative academic program with another institution not accredited by SACSCOC.** The prospectus should demonstrate compliance with the SACSCOC policy "[Agreements Involving Joint and Dual Academic Awards](#)." Examples include joint degree or dual degree programs.
14. **Entering into a contract with an entity not certified to participate in USDOE Title IV programs.** This applies if the entity provides 25% or more of an educational program offered by the accredited institution. The prospectus must include a copy of the signed agreement.

## ***The Procedure for Approval***

### **Time of Notification**

An institution undergoing substantive change requiring prior approval must provide written notification of the change to the President of SACSCOC in accord with the designated times outlined in the table on pages 6-9 of this document. In some cases, prior notification is not required.

*If an institution is unclear as to whether a change is substantive in nature, it should contact SACSCOC staff for consultation.*

### **Submission of a Prospectus or an Application**

**Prospectus:** Prospectuses may be submitted in print form or on flash drive, CD or DVD (submit one copy). Once the prospectus has been submitted, the institution may advertise and recruit students to a new program or site as long as all materials clearly state that the program or site is pending approval by SACSCOC.

**Application for Member Institutions Seeking Accreditation at a Higher or Lower Degree Level:** The application for change of degree level must be submitted by **April 8** for consideration at the June meeting of the SACSCOC Board of Trustees, or by **September 15** for consideration at the December meeting of the SACSCOC Board of Trustees to allow ample time for review and approval. Four copies of the completed application should be submitted to the President of SACSCOC as a print document or on flash drive, CD or DVD.

### **Staff Options**

Upon receipt of a substantive change **prospectus**, a SACSCOC staff member will review the prospectus and any supporting material submitted by the institution and will recommend to the SACSCOC Board of Trustees one of the actions listed below:

1. approve the substantive change or
2. refer the substantive change to the SACSCOC Committee on Compliance and Reports for review and a final recommendation to the Board of Trustees.

Upon receipt of an **application** for initiating coursework or programs at a level different from that for which it is approved, the application will be forwarded automatically to the SACSCOC Board of Trustees for review and approval at its next scheduled meeting: June or December.

### **Options of the Committees on Compliance and Reports Following Review of the Prospectus or of the Application**

**Prospectus:** The Committee will review the prospectus and any additional material submitted, and will recommend one of the following actions:

1. accept the prospectus and recommend approval of the program, with or without a site visit. A site visit is required within six months after the initiation of the following approved substantive changes:
  - (a) consolidation/merger; a change of ownership resulting in a change of control; change of governance, ownership, legal status
  - (b) a branch campus
  - (c) an off-campus site at which a student can earn at least 50% of the credit toward an educational program, if any of the following applies: the institution
    - has a total of three or fewer additional locations at which 50% or more of a programs credits are offered, or
    - has not demonstrated, to the satisfaction of the SACSCOC Board of Trustees, that it has a proven record of effective educational oversight of additional locations, or
    - has been placed on sanction by SACSCOC or is subject to some limitation on its accreditation
2. defer action and seek additional information
3. recommend denial of approval of the substantive change and continue the institution's accreditation. The reason for denial of approval may have been caused by an institution's current non-compliance with a standard or requirement. Consequently, denial may be accompanied by monitoring or imposition of a sanction.

### **Application for Member Institutions Seeking Accreditation at a Higher or Lower Degree Level:**

An application for offering programs at a level different from that for which the institution is approved is automatically referred to the Committees on Compliance and Reports, except for a change in degree levels from III to IV and from V to VI which are reviewed by staff. The Committee will review the application and any additional material submitted, and will recommend one of the following actions:

1. accept the application and approve the program, with a site visit within six months after initiation of the substantive change
2. defer action and seek additional information
3. deny approval of the substantive change and continue the institution's accreditation. The reason for denial of approval may have been caused by an institution's current non-compliance with a standard or requirement. Consequently, denial may be accompanied by monitoring or imposition of a sanction.

### **Preparation for a Substantive Change Committee Visit**

When a Substantive Change Committee is authorized, it is charged with determining the institution's continued compliance with the Principles of Accreditation following the initiation of the change. The visit will occur within six months after initiation of the change. In preparation for this visit, the institution will complete the appropriate substantive change documentation template, which cites relevant Core Requirements, Comprehensive Standards and Federal Requirements, and the roster of faculty members who will be teaching in the program or at the site. Both the template and the Faculty Roster form are available on the SACSCOC Web site ([www.sacscoc.org](http://www.sacscoc.org)) under "Substantive Changes". The institution's



SACSCOC staff representative will inform the institution of the composition and schedule for the Committee.

**Options of the Committees on Compliance and Reports  
Following Review by a Substantive Change Committee**

The report of the Substantive Change Committee, together with the response of the institution to the recommendations contained in that report (due within five months of the Committee visit), will be reviewed by the Committee on Compliance and Reports. The Committee on Compliance and Reports may recommend one of the following actions:

1. continue the institution in accreditation, with or without a monitoring report
2. continue the institution in accreditation, impose a sanction, and request a monitoring report, with/without a special committee visit (mandatory visit if placed on Probation)
3. discontinue accreditation

## PROCEDURE TWO

### **The Review of Substantive Changes Requiring Only Notification Prior to Implementation**

#### ***Changes Requiring Notification Only***

Substantive changes requiring an institution to notify the President of SACSCOC prior to implementation by the institution are as follows:

1. For site-based/classroom group instruction (where the instructor is present)
  - a. **Initiating an off-campus site at which a student may earn at least 25% but less than 50% of credits toward a program.** The letter of notification must include the starting date and complete physical address of the new site.
  - b. **Moving an approved off-campus instructional site within the same geographic area to serve essentially the same pool of students.** The letter of notification must include the complete physical address of the old site, the complete physical address of the new site, and the starting date of the new site.
2. For distance learning/technology-based group or individual instruction (where the instructor and student are geographically separated), **offering for the first time credit courses via distance learning/technology-based instruction by which students can obtain at least 25% but less than 50% of their credits toward an educational program.**
3. **Initiating program/courses delivered through contractual agreement or a consortium.** This provision *does not apply* to articulation agreements with other institutions, clinical agreements, or internship agreements. The notification must include (1) a letter with the starting date of the agreement and the names of the institutions and programs involved and (2) a copy of the signed agreement.
4. **Entering into a contract with an entity not certified to participate in USDOE Title IV programs if the entity provides less than 25% of an educational program offered by the accredited institution.** A copy of the signed agreement must be provided.
5. **Repackaging of an existing approved curriculum** to create a new degree level, such as an institution that offers a full 120-hour baccalaureate program creating an associate degree from its lower-division offerings, usually requires only advance notification, not approval

#### ***Review Procedure***

##### **Time of Notification**

An institution undergoing substantive change must provide written notification of the change to the President of SACSCOC prior to implementation. The letter must include the date of implementation of the proposed change, and for an off-campus site, the complete physical address of the location. If an institution is unclear as to whether a change is substantive in nature, it should contact SACSCOC staff for consultation.

##### **Staff Options**

Upon receipt and review of the substantive change notification, SACSCOC staff will recommend one of the following options to the President of SACSCOC:

1. acknowledge receipt of the notification and indicate that the change will be included in the scope of the institution's accreditation

2. acknowledge receipt of the notification and request additional information.

Upon receipt and review of additional information, if requested, SACSCOC staff may recommend one of the following options to the SACSCOC President:

1. acknowledge receipt of the additional information and include the change in the scope of the institution's accreditation,
2. refer the substantive change to the Board of Trustees of SACSCOC for review,
3. authorize a substantive change visit,
4. take other action as may be appropriate.



## PROCEDURE THREE

### **Closing a Program, Instructional Site, Branch Campus or an Institution: Teach-Out Plans and Teach-Out Agreements**

In accordance with Federal regulations, an institution is required to submit a teach-out plan to SACSCOC for approval if any of the following occurs:

1. The USDOE notifies the Commission that it has initiated an emergency action against an institution or an action to limit, suspend, or terminate an institution participating in any Title IV, HEA program.
2. The Commission terminates accreditation or candidacy.
3. The institution notifies the Commission that it intends to cease operations entirely or close a location that provides at least 50% of at least one program.
4. A State Licensing or authorizing agency notifies the Commission that an institution's license or legal authorization to provide an educational program has been or will be revoked.

If an institution decides to close an educational program, approved instructional site, branch campus, or the entire institution, it must choose one of the following options:

1. The institution teaches out currently enrolled students; no longer admits students to programs; and terminates the program, the operations of an approved instructional site or a branch campus, or the operations of an institution after students have graduated. **(Teach-out plan)**
2. The institution enters into a contract for another institution or organization to teach out the educational programs or program. **(Teach-out agreement)**

Teach-out plans and teach-out agreements must be approved by SACSCOC prior to implementation. See also the SACSCOC Good Practices document "[Closing a Program, Site, Branch or Institution](#)"

#### **Teach-out Plans**

A teach-out plan is a written plan developed by an institution that provides for the equitable treatment of students if an institution, or an institutional location that provides fifty percent or more of at least one program, ceases to operate before all students have completed their program of study, and may include, if required by the institution's accrediting agency, a teach-out agreement between institutions. Teach-out plans must be approved by SACSCOC in advance of implementation.

To be approved, a teach-out plan must include the following information:

1. Date of closure (date when new students will no longer be admitted)
2. An explanation of how affected parties (students, faculty, staff) will be informed of the impending closure
3. An explanation of how all affected students will be helped to complete their programs of study with minimal disruption
4. An indication as to whether the teach-out plan will incur additional charges/expenses to the students and, if so, how the students will be notified
5. Signed copies of teach-out agreements with other institutions, if any
6. How faculty and staff will be redeployed or helped to find new employment

7. If closing an institution, arrangement for the storing of student records, disposition of final financial resources and other assets

Following review and approval of a teach-out plan that includes a program that is accredited by another accrediting agency, the Commission will notify that accreditor of its approval.

### ***Teach-out Agreements***

A teach-out agreement is a written agreement between institutions that provides for the equitable treatment of students and a reasonable opportunity for students to complete their program of study if an institution, or an institutional location that provides fifty percent or more of at least one program offered, ceases to operate before all enrolled students have completed their program of study. Such a teach-out agreement requires SACSCOC approval in advance of implementation.

For approval by SACSCOC, the agreement must be between institutions that are accredited by a nationally recognized accrediting agency, be consistent with applicable standards in the Principles of Accreditation and with SACSCOC policies, and provide for the equitable treatment of students by ensuring that:

1. the teach-out institution has the necessary experience, resources, and support services to provide an educational program that is of acceptable quality and reasonably similar in content, structure, and scheduling to that provided by the closed institution; and
2. the teach-out institution demonstrates that it can provide students access to the program(s) and services without requiring them to move or travel substantial distances.

Please see the SACSCOC Good Practices document "[Closing a Program, Site, Branch or Institution](#)" for additional discussion of issues regarding closing of programs, sites, branch campuses or institutions.

### ***Closing an institution without an agreement***

If an institution accredited by SACSCOC closes and is no longer accredited, SACSCOC will seek assistance from the United States Department of Education and appropriate state agencies to help its students find reasonable opportunities to complete their education without additional expense.

### ***Approval Process***

#### ***Time of Notification***

As soon as the decision to close is made, the institution should provide to SACSCOC at the same time the following two pieces of information: (1) notification of the intended closing of a program, site, branch campus, or institution and (2) a teach-out plan for approval (including any teach-out agreements with other institutions).

#### ***Staff Options***

Upon receipt and review of the notification of impending closure, SACSCOC staff will recommend that the President of SACSCOC acknowledge receipt of the notification and request the teach-out plan if was not included with the notification. Upon receipt and review of the teach-out plan, SACSCOC staff may recommend one of the following options to the SACSCOC President:

1. request additional information for the teach-out plan
2. approve the teach-out plan



## **Appendix A: Current Standards and Policy Statements Addressing Unreported Substantive Change**

### **1. Principles of Accreditation, Comprehensive Standard 3.12.1**

The institution notifies the Commission of changes in accordance with the substantive change policy and, when required, seeks approval prior to the initiation of changes.

### **2. "Reaffirmation of Accreditation and Subsequent Reports" – Policy Statement**

If an institution fails to report a substantive change that requires prior approval or prior notification, the committee will take the following actions:

- a) If discovered during the off-site review. The Off-Site Review Committee will mark CS 3.12.1 out of compliance. The institution will be able to address the omission in its Focused Report and before the on-site review.
- b) If discovered during the on-site review. The On-Site Reaffirmation Committee will mark CS 3.12.1 out of compliance and write a recommendation. The institution will address the recommendation in its response to the Commission.

### **3. Policy Statement on Unreported Substantive Change**

Unreported substantive changes requiring prior notification or prior approval come to the attention of the Commission through two means: (1) information discovered by the institution or by the Commission between periods of formal review by the Commission and (2) information discovered during an off-site or an on-site review by the Commission. The procedure for handling such unreported substantive changes is as follows:

- a) Upon discovery, the institution formally notifies the SACSCOC President of the unreported substantive change. The letter of notification must include the date of the original implementation of the change. A completed prospectus or application should accompany the letter for cases outlined in **Procedure One** of this document.
- b) Commission staff will review the substantive change prospectus, if required; and any additional information that may have been requested. Following analysis, Commission staff will recommend to the SACSCOC Board of Trustees one of the following actions:
  - 1. approve the program, with or without a site visit;
  - 2. refer the prospectus to the Committee on Compliance and Reports for review at its next meeting (June or December); or
  - 3. acknowledge receipt of the notification and indicate that the change will be included in the scope of the institution's accreditation (an option only if prior notification is required).
- c) The issue of failure to comply with Comprehensive Standard 3.12.1 of the *Principles of Accreditation* (Substantive change) will be forwarded automatically to the Commission's Board of Trustees for action at its next meeting, if the change required prior approval. If the change required prior notification only, the issue of failure to report will be addressed in correspondence from the SACSCOC President.
- d) If the unreported substantive change requiring prior notification or prior approval is discovered during the institution's off-site or on-site review for reaffirmation, SACSCOC will follow its policy as described on page 1 of "Reaffirmation of Accreditation and Subsequent Reports". If it is discovered during review by another type of SACSCOC committee, the review committee will



write a recommendation. The recommendation will ask the institution to report the change in writing to SACSCOC and to provide in its response to the Committee Report a statement describing internal procedures established that would ensure future substantive change reporting and evidence that the procedures have been implemented. The institution's response will be forwarded to the Board of Trustees of SACSCOC for action on failure to report a substantive change.

#### **Failure to Comply with Reporting Requirements**

If an institution fails to follow SACSCOC substantive change policy and procedures, it may lose its Title IV funding or be required by the U.S. Department of Education to reimburse it for money received by the institution for programs related to the unreported substantive change. In addition, the institution's case may be referred to SACSCOC Board of Trustees for the imposition of a sanction or for removal from membership.

## **Appendix B: The Content of the Substantive Change Prospectus**

[Not for use with the "Mergers, Acquisitions ..." or the  
"Direct Assessment Competency-Based ..." Policies]

One copy of a prospectus should be submitted to the SACSCOC President on paper, flash drive, CD or DVD and include all applicable information below regarding the change. **Documents will not be accepted via e-mail.** The document should include a concisely worded narrative with the information specified in this Appendix. A prospectus normally does not exceed **25 pages** plus appendices. Please note that SACSCOC reserves the right to make amendments to the requirements outlined below for certain types of changes.

In lieu of a prospectus, SACSCOC will accept documentation submitted for approval to a system office or to a state coordinating or governing board, provided such documentation includes all the information required in a prospectus and includes an index correlating the submitted materials with the corresponding information required in a prospectus. Faculty qualifications, however, must be documented using the Faculty Roster form. *Curriculum vitae* in lieu of a faculty roster will not be accepted.

Reminder: An institution initiating a level change must complete an Application for Member Institutions Seeking Accreditation at a Higher or Lower Degree Level and submit it in quadruplicate in lieu of completing a prospectus.

The following guidelines are generic; **each prospectus should be tailored to focus on the specific change being proposed.**

### **Cover Pages for a Substantive Change Prospectus**

- Include name, phone number, and e-mail address of person to be contacted with questions regarding the prospectus
- List degrees that the institution is authorized to grant. As a subset of each degree, list majors available. (*Photocopy from catalog is acceptable*)
- List certificate, diploma and degree programs which are related to the proposed program(s)
- List institutional strengths that facilitate the offering of the proposed program(s)
- List of existing approved off-campus sites and their addresses

#### **1. ABSTRACT (limit to one page or less)**

Describe the proposed change; list the initial date of implementation; projected number of students, if applicable; description of primary target audience; projected life of the program (single cohort or ongoing); instructional delivery methods and, if the change involves the initiation of an off-campus site, its complete physical address,

#### **2. BACKGROUND INFORMATION**

Provide a clear statement of the nature and purpose of the change in the context of the institution's mission and goals; evidence of the legal authority for the change (if authorization is required by the governing board or the state); and whether the proposed degree program or similar program is offered on the main campus or at other **approved** off-campus sites.

#### **3. ASSESSMENT OF NEED AND PROGRAM PLANNING/APPROVAL**

**Briefly** discuss the rationale for the change, including an assessment of need; evidence of inclusion of the change in the institution's ongoing planning and evaluation processes; and documentation that faculty and other groups were involved in the review and approval of the new site or program.



#### **4. DESCRIPTION OF THE CHANGE**

Provide a description of the proposed change, including the specific outcomes and learning objectives of the program and a schedule of proposed course offerings. In the case of a change involving the initiation of a branch campus or an off-campus site, indicate the educational program(s) to be offered.

Describe any differences in admission, curriculum, or graduation requirements for students enrolled at new site(s), or any special arrangements for grading, transcripts, or transfer policies. Demonstrate compliance with FR 4.9 (Definition of Credit Hours) of the *Principles*. Describe administrative oversight to ensure the quality of the program or services to be offered. A prospectus for approval of distance learning should describe the infrastructure supporting the delivery method (training of faculty, development of courses for distance delivery, technical support for student and faculty).

#### **5. FACULTY**

Provide a complete roster (using the [Faculty Roster form](#)) of those faculty employed to teach in the program(s) referred to in the prospectus, including a description of those faculty members' academic qualifications and other experiences relevant to the courses to be taught in the program in question, course load in the new program, and course work taught in other programs currently offered. Please consult the "[Faculty Roster Instructions](#)" for guidance in completing the Roster for current faculty who will be supporting the change. Provide a narrative with supporting evidence that the number of full-time faculty members is adequate to support the program; and describe the impact of the new initiative on faculty workload.

For distance learning programs, describe processes in place to ensure that students have structured access to faculty. For graduate programs, document scholarship and research capability of faculty; for doctoral programs, document faculty experience in directing student research.

#### **6. LIBRARY AND LEARNING RESOURCES**

Describe library and information resources—general as well as specific to the program—and staffing and services that are in place to support the initiative. If reliant upon other libraries, describe those collections and their relevance to the proposed program(s) and include a copy of formal agreements in the appendix. Relative to electronic resources, describe how students and faculty will access information, training for faculty and students in the use of online resources, and staffing and services available to students and faculty. If you are citing electronic databases accessed through consortial or statewide groups, please describe the discipline-specific suites of resources and not just the name of the consortium (such as Viva, Tex-Share, Galileo, Louis, etc.). For doctoral programs, document **discipline-specific refereed journals and primary source materials**.

#### **7. STUDENT SUPPORT SERVICES**

Provide a description of student support programs, services, and activities—general as well as specific to the change—in place to support this initiative.

#### **8. PHYSICAL RESOURCES**

Provide a description of physical facilities and equipment to support this initiative. Assess the impact that the proposed change will have on existing programs and services.

## 9. FINANCIAL SUPPORT

**The institution must disclose if it is currently on reimbursement for Title IV funding.**

Provide a business plan that includes all of the following:

- a. a description of financial resources to support the change, **including a budget** for the first year of the proposed change (a three-year budget is requested for a new branch campus). The budget must be specific to the proposed change. Do not send a copy of the institutional budget.
- b. projected revenues and expenditures and cash flow
- c. the amount of resources going to institutions or organizations for contractual or support services
- d. the operational, management, and physical resources available for the change.

*Provide contingency plans in case required resources do not materialize.*

*For institutions currently on sanction with SACSCOC for financial reasons, provide a copy of the most recent audit.*

## 10. EVALUATION AND ASSESSMENT

Describe how the institution assesses overall institutional effectiveness as well as the means used to monitor and ensure the quality of the degree program(s), off-campus site(s), or other changes. Summarize procedures for systematic evaluation of instructional results, including the process for monitoring and evaluating programs at the new site, as well as using the results of evaluation to improve institutional programs, services, and operations. For compressed time frames describe the methodology for determining that levels of knowledge and competencies comparable to those required in traditional formats have been achieved.

## 11. APPENDICES

Appendices may include items such as copies of library and other cooperative or contractual agreements. All appendices should be referenced in the text.

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**Appendix C:**  
**Application for Member Institutions Seeking Accreditation**  
**at a Higher or Lower Degree Level**

**(Follow the above link to access the Application template.)**