Substantive Change Policy and Procedures

Table of Contents

1. Policy 2
    Overview 2
    Compliance 2
    Non-compliance 4
2. Procedures 5
    General Requirements 5
    Specific Requirements by Type of Substantive Change 12
        Institutional Changes 12
        Program Changes 26
        Off-campus Instructional Site / Additional Location Changes 46
    SUBSTANTIVE CHANGE RESTRICTION 58
    Committee Visits 60
        International Off-campus Instructional Sites 62
    Fees and Expenses 63
        Review Fee 63
        Substantive Change Committee Visit Fee and Expenses 63
    Review Procedures 64
        Staff Options 64
        Options of the Committee on Compliance and Reports Following Review of the Prospectus or Application 64
        Preparation for a Substantive Change Committee Visit 65
        Options of the Committee on Compliance and Reports Following Review by a Substantive Change Committee 65
        Teach-outs 65
3. Appendices 67
    Appendix A: What to Submit for Approvals 67
        Common Content 68
        Institutional Changes 71
        Program Changes 78
        Off-campus Instructional Site / Additional Location Changes 84
    Appendix B: Glossary 89
    Appendix C: Quick Reference 92
        Substantive Change Types 92
        Conditions for SUBSTANTIVE CHANGE RESTRICTION and for an Institutional Contingency Teach-out Plan 94
    Appendix D: Summary of Recente

1. Policy

Overview

The Southern Association of College and Schools Commission on Colleges (SACSCOC) substantive change policy and procedures assure the public that all aspects of an institution continue to meet standards. It helps ensure substantive changes, if approved, do not hinder an institution's ability to continue meeting the SACSCOC *Principles of Accreditation*.

A substantive change is a significant modification or expansion of the nature and scope of an accredited institution. Substantive change includes high-impact, high-risk changes and changes that can impact the quality of educational programs and services.

SACSCOC accredits an entire institution. Accreditation extends to all programs and services of an institution wherever located and however delivered. SACSCOC does not accredit individual programs, locations, or portions of an institution. However, some new programs, locations, and other institutional changes are subject to notification and/or approval as defined in *Substantive Change Policy and Procedures*.

Compliance

Substantive changes, including those required by federal regulations, include:

Substantially changing the established mission or objectives of an institution or its programs.
Changing the legal status, form of control, or ownership of an institution.
Changing the governance of an institution.
Merging / consolidating two or more institutions or entities.
Acquiring another institution or any program or location of another institution.
Relocating an institution or an off-campus instructional site of an institution (including a branch campus).
Offering courses or programs at a higher or lower degree level than currently authorized.
Adding graduate programs at an institution previously offering only undergraduate programs (including degrees, diplomas, certificates, and other for-credit credential).
Changing the way an institution measures student progress, whether in clock hours or credit-hours; semesters, trimesters, or quarters; or time-based or non–time-based methods or measures.
Adding a program that is a significant departure from the existing programs, or method of delivery, from those offered when the institution was last evaluated.
Initiating programs by distance education or correspondence courses.
Adding an additional method of delivery to a currently offered program.

Entering into a cooperative academic arrangement.

Entering into a written arrangement under 34 C.F.R. § 668.5 under which an institution or organization not certified to participate in the title IV Higher Education Act (HEA) programs offers less than 25% (notification) or 25-50% (approval) of one or more of the accredited institution's educational programs. An agreement offering more than 50% of one or more of an institution's programs is prohibited by fedd

2. Procedures

General Requirements

General requirements universally apply to most or all types of substantive change. They address obligations and processes by an institution and by SACSCOC. Specific requirements are addressed by substantive change type, organized by institutional changes, off-campus instructional site / addit(e)-1 (d b4Ty(i)5 (te)4115 -19(s)-1 (s)-1 (t)-2 (i)-2 (o(c)-1 (ha)-1 (yp)5 (f)]TJ0 T1w 0.35 0 Td (s)-1 (n a)-1

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Exceptions:

There are exceptions, based on the conditions or characteristics of an institution, that require review and action by the full Board of Trustees rather than the Executive Council of the Board.

Review by the full Board of Trustees is required if any of the following apply:

a. An institution is on sanction (Warning, Probation, or Probation for Good Cause) at the time the substantive change prospectus or application is submitted.

Exceptions:

i. If an institution submitted a substantive change prospectus or application and is subsequently placed on sanction, the proposed change may be referred to the full Board of Trustees or may at the sole discretion of SACSCOC staff be reviewed by staff and referred to the Executive Council of the Board for action.

ii. A substantive change
    1. to close a program, a site, a program at a site, or a method of delivery;
    2. for an institutional contingency teach-out plan; or
    3. for an institution closure

may be reviewed by staff and referred to the Executive Council of the Board for action eve2 Tw T*8h01(6[(r)T*8h01(6[(r)T*8h0-3 67 (tio)2 2)-2 (ut)3 (i)-2 (o)n(l)-2v]l (i(

review and action by the SACSCOC Board of Trustees. A substantive change committee visit may be authorized.

Notification vs. approval: Upon favorable review of a proposed substantive change, either

a. notification is accepted by staff, or
b. approval is granted by the SACSCOC Board of Trustees.

SACSCOC cannot accept notification or approve changes not identified and required in policy. Institutions should not submit changes that are not identified in policy as requiring notification or approval; no action will be taken.

Possible non-compliance: If the review of a substantive change notification, prospectus, or

Specific Requirements by Type of Substantive Change

Institutional Changes

Acquisition
Change in Measure of Student Progress to Completion
Competency-based Education by Course/Credit-based Approach – Institutional-level Approval
Distance Education – Institutional-level Approval
Governance Change
Institution Closure
Institution Relocation
Institutional Contingency Teach-out Plan
Level Change
Merger / Consolidation
Mission Change
Ownership, Means of Control, or Legal Status Change

Acquisition

REQUIRES Notification and Approval Full Board of Trustees	
COMMITTEE VISIT Required	
FEE Yes	
No	SUBJECT TO SUBSTANTIVE CHANGE RESTRICTION

Acquisition is the sale, exchange, or transfer of a component of an institution's or entity's assets to a SACSCOC accredited institution. Following acquisition, the participating entities remain in operation as separate institutions or entities. Acquisition includes off-campus instructional sites, for-credit educational programs, or other tangible educational assets. Acquisition excludes assets unrelated to the core mission of the SACSCOC institution such as non-educational real estate and intangible property. Acquisition is independent of financial consideration; i.e., an acquisition may or may not involve the exchange of money between participating entities. Acquisition requires SACSCOC Board of Trustees approval.

Upon acceptance or approval of the prospectus, a Substantive Change Committee visit will be authorized to review the institution's ongoing compliance with the Principles of

Accreditation following implementation of the acquisition. The implementation or

; Whatto submit

A prospectus: Submit a substantive change prospectus using the outline provided in Appendix A for competency-based education by course/credit-based approach – institutional-level approval.

Distance Education – Institutional -level Approval

REQUIRES Approval Exec Council of the Board

Governance Change

REQUIRES Notification and Approval Full Board of Trustees	
COMMITTEE VISIT Required	
FEE Yes	
No	SUBJECT TO SUBSTANTIVE CHANGE RESTRICTION

An institutional governance change requires SACSCOC approval prior to implementation. A governance change may include significant

Institution Closure

REQUIRES **Approval** Exec Council of the Board	
COMMITTEE VISIT **No**	
FEE **No**	
No	SUBJECT TO SUBSTANTIVE CHANGE RESTRICTION

An institution ending all instruction requires an institution closure teach-out plan subject to SACSCOC Board of Trustees approval. Unlike an institutional contingency teach-out plan – which is a precautionary plan – an institution closure addresses imminent closure or closure expected with reasonable certainty. The teach-out plan must be submitted as soon as possible after closure becomes known or expected.

The teach-out plan details the institution's process for orderly closure with primary emphasis on assisting students complete their programs of study with minimal disruption and additional costs. Institutions may teach-out their own programs, enter into teach-out agreements with other institutions, or both. For an institution with a gradual or phased teach-out plan, the teach-out period may extend several years.

The teach-out institution(s) – i.e., the institution(s) accepting displaced students from the closing institution – may request an exception to Standard 9.4 (institutional credits for an undergraduate degree) and/or Standard 9.5 (institutional credits for a graduate or professional degree) to accommodate students near the end of their program of study. Refer to the Request for a Period of Noncompliance policy for guidance. The closing institution should ensure the teach-out institution(s) are aware of this option and may wish to include it in any teach-out agreement(s) executed pursuant to the closure.

The teach-out plan must

x

; What to submit

A teach-out plan: Submit a teach-out plan using the outline provided in Appendix A for an institution closure.

Institution Relocation

REQUIRES	
Approval Exec Council of the Board	
COMMITTEE VISIT No	
FEE Yes	
No	SUBJECT TO SUBSTANTIVE CHANGE RESTRICTION

An institution relocation requires SACSCOC approval prior to implementation. The prospectus should explain the institution's plan and timeline, assurance of continuous operation, assurance that instruction and student support services are not materially interrupted or hindered, and assurance of adequate financial resources and planning to support the relocation and continued operation of the institution. The prospectus must demonstrate the new location maintains the institution's compliance with Standards 13.7 (Physical resources) and 13.8 (Institutional environment). The prospectus must demonstrate the relocation will not place the institution in jeopardy of non-compliance with the Principles of Accreditation.

; What to submit

A prospectus: Submit a substantive change prospectus using the outline provided in Appendix A for an institution relocation.

Institutional Contingency Teach-out Plan

REQUIRES	
Approval Exec Council of the Board	
COMMITTEE VISIT No	
FEE No	
No	SUBJECT TO SUBSTANTIVE CHANGE RESTRICTION

An institutional contingency teach-out plan must be approved if any of the following occur:

a. the institution is placed or continued on probation or on probation for good cause by SACSCOC,
b. SACSCOC actNd (.)Tj EMC /StyleSpan <</MCI4w -23 /TH <<T

f. the institution is the subject of USDE emergency action or an action to limit, suspend, or terminate the institution's participation in federal financial aid; or
g. the institution's state authorization is revoked

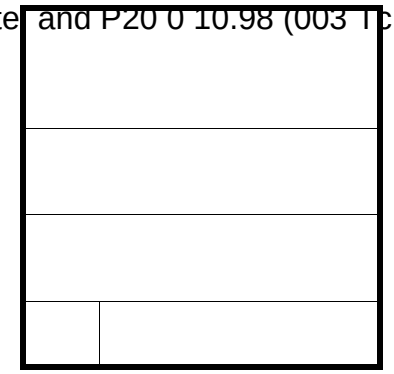
A contingency teach-out plan is created in due diligence as a precaution rather than as an imminent closure plan. Should closure become necessary, the contingency teach-out plan becomes the institution closure plan, subject to revisions as warranted. The objective of a contingency teach-out plan is assurance of adequate institutional planning and SACSCOC concurrence for the benefit of students, faculty, and staff well in advance of immediate need. The contingency teach-out plan must detail, for each institutional program, how the institution will provide options for students to complete their programs of study with minimal disruption and additional costs, including identification of comparable programs and institutions. Teach-out agreements may be included.

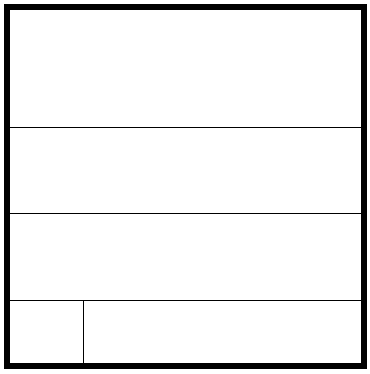
The teach-out institution(s) – i.e., the institution(s) accepting displaced students from the closing institution – may request an exception to Standard 9.4 (institutional credits for an undergraduate degree) and/or Standard 9.5 (institutional credits for a graduate or professional degree) to accommodate students near the end of their program of study. Refer to the Request for a Period of Noncompliance policy for guidance. The closing institution should ensure the teach-out institution(s) are aware of this option and may wish to include it in any teach-out agreement(s) executed pursuant t

Exceptions:

Embedded associate degree

…that is not a significant departure: A baccalaureate and P20 0 10.98 (003 Tc 0.9010.98 0





an explanation of how the institution determined the program was not a significant departure and thus did not require SACSCOC approval, and

- x a request to reclassify to a Level VI institution.
- x A Substantive Change Cover Sheet is not necessary for this notification.

Merger / Consolidation

REQUIRES Notification and Approval Full Board of Trustees	
COMMITTEE VISIT Required	
FEE Yes	
No	SUBJECT TO SUBSTANTIVE CHANGE RESTRICTION

Merger/consolidation is the sale, exchange, or transfer of all assets of at least one institution or entity to a SACSCOC accredited institution. Following a merger/consolidation, only one institution remains in operation as a separate institution or entity. Merger/consolidation is independent of financial consideration; i.e., a merger/consolidation may or may not involve the exchange of money between participating entities. A Substantive Change Committee visit is required and is authorized upon acceptance or approval of the prospectus. The Committee will review the institution's ongoing compliance with the Principles of Accreditation following implementation of the merger/consolidation. The implementation or effective date must occur within 30 days of the SACSCOC Board of Trustees approval of the merger/consolidation. A merger/consolidation usually affects the resulting institution's reaffirmation cycle.

Refer to the Merger/Consolidation, Acquisition, Change of Ownership, and Change of Governance, Control, Form, or Legal Status [PDF] policy for additional guidance including the approval process, prospectus requirements, and submission deadlines.

In addition to a prospectus, a merger/consolidation

A prospectus: Submit a substantive change prospectus using the outline provided in the Merger/Consolidation, Acquisition, Change of Ownership, and Change of Governance, Control, Form, or Legal Status [PDF] policy.

Mission Change

REQUIRES Approval Exec Council of the Boa	
COMMITTEE VISIT No	
FEE Yes	
No	SUBJECT TO SUBSTANTIV CHANGE RESTRICTION

A significant change in the established mission of an institution requires SACSCOC approval prior to implementation. A mission change fundamentally alters the character of an institution and its portfolio of academic programs or other mission-driven activities.

- An editorial change or rewording of a mission statement that does not reflect a material change in mission is not a substantive change. This type of change does not require approval and should not be reported to SACSCOC.
- A mission change may be implicitly embedded or concurrent with other another type of substantive change requiring SACSCOC approval. Examples are a level change, a merger/consolidation, or establishing a program or portfolio of programs that changes the distinctiveness of an institution. This type of mission change typically does not require separate review and approval but should be clear in the prospectus or application for the other type of substantive change.

What to submit

A prospectus: Submit a substantive change prospectus using the outline provided in Appendix A for a mission change

Ownership, Means of Control, or Legal Status Change

REQUIRES **Notification and Approval** Full Board of Trustees	
COMMITTEE VISIT **Required**	
FEE **Yes**	
No	SUBJECT TO SUBSTANTIVE CHANGE RESTRICTION

An institutional change of ownership, change of institutional means of control, or change of institutional legal status requires SACSCOC approval prior to implementation.

A substantive change committee visit is required and is authorized at the time of approval.

A change of ownership normally affects the institution's reaffirmation cycle. A change of the means of control or change of legal status may affect the institution's reaffirmation cycle.

Refer to the Merger/Consolidation, Acquisition, Change of Ownership, and Change of Governance, Control, Form, or Legal Status [PDF] policy for additional guidance including the approval process, prospectus requirements, and submission deadlines.

In addition to a prospectus, a change of ownership, means of control, or legal status requires notification to SACSCOC at least six months prior to the SACSCOC Board of Trustees meeting at which the prospectus will be reviewed.

What to submit

A notification to include:

1. A completed Substantive Change Cover Sheet [PDF].
2. A description of the planned change.
3. The intended implementation date.
4. The intended SACSCOC Board of Trustees meeting (June or December) and year for which the institution will submit a prospectus for review.

A prospectus. Submit a substantive change prospectus using the outline provided in the Merger/Consolidation, Acquisition, Change of Ownership, and Change of Governance, Control, Form, or Legal Status [PDF] policy.

(End of Institutional Changes)

proposed measures. A conversion must demonstrate no negative impact on student learning outcomes or students' expected time to completion, and must demonstrate compliance with SACSCOC standards and policies and the institution's policies.

- What to submit

A prospectus: Submit a substantive change prospectus using the outline provided in Appendix A for a clock-credit hour conversion.

Competency-based Education by Direct Assessment – Approval

(See also Competency-based Education by Direct Assessment – Notification, Competency-based Education by Course/Credit – Approval (institutional level change), and

Cooperative Academic Arrangement with Title IV Entities

(See also Cooperative Academic Arrangements Definitions and Guidelines.)

REQUIRES Notification	
COMMITTEE VISIT No	
FEE No	
No	SUBJECT TO SUBSTANTIVE CHANGE RESTRICTION

An agreement with a title IV entity (or entities) to deliver program content with credit being recorded on the SACSCOC institution's transcript as its own requires notification prior to implementation if

50% or more of a program is offered through the arrangement

— OR —

the SACSCOC institution could not deliver the program without the arrangement, i.e., it is dependent on the arrangement to deliver a program.

Unless at least one of the above criteria is met and the institution transcripts the credit as its own, the arrangement with a title IV entity is not a substantive change requiring notification and nothing should be submitted to SACSCOC. If either criterion is met, notification in required and must include a copy of an agreement signed by the institution and the Title IV entity. Examples of a cooperative academic arrangement include geographic or denominational consortia, statewide distance education agreements, and contractual instruction.

requires SACSCOC approval prior to implementation; notification is not an option (see also Cooperative Academic Arrangement with Non-Title IV Entities – Approval).

☑ *What to submit*

1. A completed Substantive Change Cover Sheet [PDF].
2. An affirmative statement that the institution will record credits under the arrangement (or other measures of completion) on its academic transcripts as awarded by the institution.
3. The name and credential of each program to which credits earned under the arrangement will apply.
4. The maximum percentage of the total program requirements that will be earned under the agreement; identify this for each program for which credits earned under the arrangement will apply.
5. Demonstrate the institution's determination that the entity or entities in the agreement are non-

Correspondence Education

REQUIRES Approval Exec Council of the Board	
COMMITTEE VISIT No	
FEE Yes	
No	SUBJECT TO SUBSTANTIVE CHANGE RESTRICTION

Correspondence education is a learning process in which the institution provides instructional materials and examination, by mail or electronic transmission, 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 at the student's discretion.

Distance education requirements equally apply to correspondence education. Please refer to the distance education notification and approval requirements in this document and to the *Distance and Correspondence Education* policy [PDF].

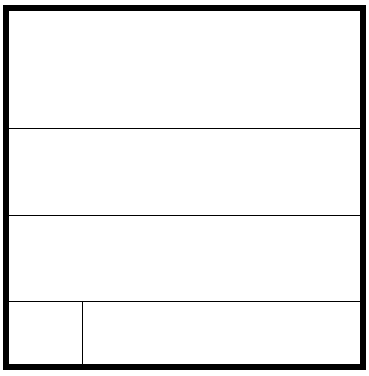
☑ *What to submit*

Refer to the distance education notification and approval requirements.

Dual Academic Award

REQUIRES	

completion or pathway options *across* credential levels (e.g., a pathway leading to the award of a bacca (y TT2 1 Tf-13.14.0027 Qq1Tf-13.14.0027 Qq1T0027 749 0 Td[(Td.22 29



The three methods of delivery are

competency-based education,
distance education, and
face-to-face instruction.

For example, adding a distance education delivery to an existing program delivered face-to-face requires notification.
Adding some methods of delivery may require approval as a separate type of substantive change:

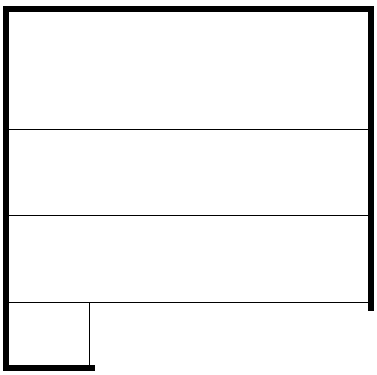
Adding a direct assessment competency-based education delivery of a program requires SACSCOC approval if 50% or more of the program can be earned by direct assessment

Adding a course/credit-based competency-based education delivery of a program requires SACSCOC approval if 50% or more of the program can be earned by course/credit-based competency-based education *and* if the institution has not been previously approved to offer 50% or more of a program by course/credit-based competency-based education.

Adding a distance education delivery of a program requires SACSCOC approval if 50% or more of the program can be earned by distance ed (t)-2 (he)4 (pr)3 (ogr)-9(he)4

New Program – Approval

Subject to SUBSTANTIVE CHANGE RESTRICTION

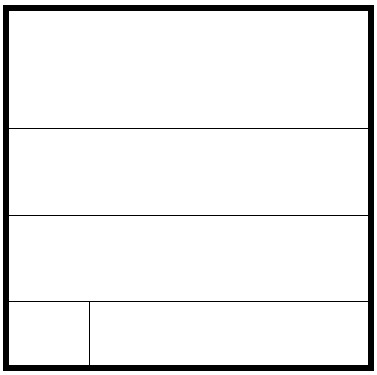


Program Closure

Closing a program requires SACSCOC approval. Approval requires a teach-out plan.

REQUIRES Approval Exec Council of the Boar	
COMMITTEE VISIT No	
FEE No	
No	SUBJECT TO SUBSTANTIVE CHANGE RESTRICTION

Closure is defined as closed to admission or entry, not the cessation of instruction; i.e., closure date is when students can no longer start, not the date instruction ends. Closure approval ensures the institution has a plan and process to provide students reasonable completion options that minimize disruption and additional costs. Because closure approval is approval of the tee 9 ƀDC4RICocesE1 (n a)-1 (nd pr Td)t plaB



Program Designed for Prior Learning –Notification
Subject to SUBSTANTIVE CHANGE RESTRICTION

REQUIRES Notification	
COMMITTEE VISIT No	
FEE No	
Yes	SUBJECT TO SUBSTANTIVE CHANGE RESTRICTION

Initiating a program requiring students to possess prior learning as a condition of admission requires notification prior to implementation.

Standard 10.7 (Policies for awarding credit) of the Principles of Accreditation applies without exception to programs designed for prior learning. A new program designed for prior learning is subject to notification or approval as a new program as defined in Substantive Change Policy and Procedures.

An institution on SUBSTANTIVE CHANGE RESTRICTION initiating a program requiring students to possess prior learning as a condition of admission requires SACSCOC approval prior to implementation; notification is not an option (see also Program Designed for Prior Learning – Approval).

; Whatto submit

1.

Program Length Change
Subject to SUBSTANTIVE CHANGE RESTRICTION

REQUIRES Approval Exec Council of the Boar	
COMMITTEE VISIT No	
FEE Yes	
Yes	SUBJECT TO SUBSTANTIV CHANGE RESTRICTION

A change in program length – for either an increase or a decrease – requires SACSCOC approval prior to implementation if

- x program credit hours (or an equivalent or comparable measure of progress such as clock hours or demonstrated competencies) increase or decrease by 25% or more
— AND —
- x students' expected time to completion increases or decreases by more than one term or its equivalent or comparable measure.

This requirement equally applies to degree, diploma, certificate, or other credit credentials.

An institution on SUBSTANTIVE CHANGE RESTRICTION requires SACSOC approval prior to implementation if program credit hours (or an equivalent or comparable measure of progress such as clock hours or demonstrated competencies) increase or decrease by 25% or more, regardless of whether or not the students' expected time to completion changes. That is, the second criterion above does not apply to institutions on SUBSTANTIVE CHANGE RESTRICTION.

- x A change in program length if program credit hours or an equivalent or comparable measure of progress such as clock hours or demonstrated competencies – increase or decrease by 25% or more
(versus the same percentage plus the additional criterion of changing expected time to completion by more than one term or its equivalent for institutions not on restriction).

; What to submit

A prospectus: Submit a substantive change prospectus using the outline provided in Appendix A for a program length change.

Off-campus Instructional Site / Additional Location Changes

The purpose of the institution-level review is to ensure institutional capacity and planning to offer courses away from its main campus and to ensure quality across locations. Institutional capacity and planning considers

- adequacy of faculty, facilities, resources, and academic and student support services at sites;
- sufficient fiscal and administrative capacity to add additional sites;
- clear academic control of sites;
- regular evaluation of all sites;
- financial stability of the institution;
- engagement in long-range planning for expansion;
- and other factors.

The site-specific review considers

- physical resources including specialized equipment or materials at a site,
- qualifications of faculty at the site,
- adequate financial resources and financial planning for the site,
- adequacy of library and learning information res (v)28 /TT2 1 Tf 0.002 Tc -0.007 Tw 1.5 is 1.5 65 (n)11 (a)9 (l)-2 (a)9 (b)-4 (l)-2 (e)9 (-)-2 (a)9 (n)-4 (d)-2 (-)-4 (l)-2 (e)9 (a)-4 (r)-2 (n)-4 (i)-2 (n)-4 (g)-4 (M)-2 (C)-4 (s)

- is not on SUBSTANTIVE CHANGE RESTRICTION.

Approval by limited review requires approval by the Executive Council of the SACSCOC Board of Trustees. Executive Council reviews

If a committee is authorized to visit an additional location, the committee is required to determine compliance with the Principles of Accreditation, including verification of personnel, facilities, and resources as asserted by the institution in its application for the additional site.

Exception. An off-campus instructional site approved by the extensive review approval method two, as defined herein, is not subject to a substantive change committee visit, if the

[PDF] for guidance. Emergency relocation is available for instruction at off

The teach-out institution(s) – i.e., the institution(s) accepting displaced students from the closing off-campus instructional site –

3. The date SACSCOC approved the site's closure and either (1) the closure's case identification number (Case ID) found on the closure approval letter or (2) a copy of the closure approval letter.
4. The name of the site upon its re-opening.
5. The intended implementation date (i.e., the effective date) of the re-opening.
6. An affirmative statement by the institution
    a. assuring the site remains appropriate for instruction and conducive for the specific type of instruction to be delivered at the site, including any specialized instructional equipment, materials, laboratories and supplies, and instructional support materials necessary; and
    b. assuring students at the site will

SUBSTANTIVE CHANGE RESTRICTION

Institutions on SUBSTANTIVE CHANGE RESTRICTION are subject to different or additional requirements for certain types of substantive change. An institution is on SUBSTANTIVE CHANGE RESTRICTION if it

- has been placed on
  - Warning,
  - Probation, or
  - Probation for Good Cause

  over the prior three academic years,

  —OR—

- is under provisional certification for participation in federal financial aid programs as defined in [defined in 34 C.F.R. § 668.13][*]

Institutions on SUBSTANTIVE CHANGE RESTRICTION are subject to the following requirements:

Off-campus instructional site changes —

- Approval through the extensive review pathway of all new off-campus instructional sites offering 50% or more of a program, i.e., the limited review pathway is not available
  (versus two sites approved through the extensive pathway then approval through the limited review pathway thereafter for institutions not on restriction).

Program changes —

- Approval of new programs with 25% or more new content
  (versus 50% for institutions not on restriction),
- Approval of a change in program length if program credit hours or an equivalent or comparable measure of progress such as clock hours or demonstrated competencies – increase or decrease by 25% or more
  (versus the same percentage plus the additional criterion of changing expected time to completion by one term or more for institutions not on restriction),

[*] If an institution is under provisional certification for participation in federal financial aid programs and if the institution is directed to do so by the USDE, then the institution is required to submit an Institutional Contingency Teach-out Plan for approval by the SACSCOC Board of Trustees as described in this policy. This requirement is in addition to the institution being on SUBSTANTIVE CHANGE RESTRICTION.

- Approval to add a method of delivery to an existing program (versus notification for institutions not on restriction),
- Approval to initiate a program designed for prior learning (versus notification for institutions not on restriction),
- Approval of an agreement with an entity (or entities) not certified to participate in U.S. Department of Education title IV programs to deliver less than 25% of a program's content (versus notification for institutions not on restriction).

International Off -campus Instructional Sites

First International Site

Any other requirement for a substantive change committee visit notwithstanding, approval of an institution's first international* off-campus instruc1 (rn)2 (5(te)(t)2)Tj

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. The institution with which it contracts must

3. Appendices

Appendix A: What to Submit for Approvals

This appendix provides an enumerated list – an outline – of the required content for each prospectus and teach-out plan requiring SACSCOC Board of Trustees approval prior to implementation. Required content is provided for each type of substantive change requiring approval identified in the Specific Requirements by Type of Change section of this document; the content of this appendix is arranged by the same categories – Institutional Changes, Program Changes, and Off-campus Instructional Site Changes – and in the same order.

Use the enumerated list as the verbatim outl01 Tw b3 -0.001 T6 (e)1 (r215 Tw 6.995065 (u)1 (a)4 (m

Common Content

Many substantive change prospectuses contain the same standard or common content. Rather than listing that content for every substantive change type, the common content is identified here. In the enumerated list of required content by substantive change type, common content is identified and can be copied-and-pasted from this section into the outline for the prospectus. eIl4C /P <</MCID 2 >>

qualifications) of the *Principles of Accreditation*). Use the standard Faculty Roster Form and instructions; do not create a new form or format:

   a. Faculty Roster Form [DOCX]
   b. Faculty Roster Form Instruction [PDF]

2. Include on the Faculty Roster Form all faculty members for the courses *to be taught*; do not include historical teaching assignments unless they are also to be taught in the proposed change.
   a. For a program: list the faculty members for all courses in the curriculum; exclude general education courses, if applicable, unless the general education curriculum is the substantive change being submitted for review.
   b. For an off-campus instructional site: list the faculty members for all courses to be taught at the site for the first 12 months of operation.
3. Do not submit faculty curricula vitae or transcripts.
4. Referring to Standard 6.2a (faculty qualifications)*:*
   a. For a program: demonstrate the institution has at least one faculty member qualified in the discipline to develop the curriculum and/or teach in the program.
   b. For a site: demonstrate the institution has at least one faculty member qualified in the discipline to teach at the site.
5. Provide narrative with supporting evidence to demonstrate the number of full-time faculty members will be adequate to support the proposed change. In addition to at least one faculty member qualified in the discipline, include any to-be-hired faculty members, if applicable, on the Faculty Roster Form (e.g., "To-be-hired #1," "To-be-hired #2," etc.) with the expected qualifications for teaching the courses assigned. Describe the impact on faculty workload of the proposed change.
6. For a graduate program,
   a. demonstrate scholarship and research capability of faculty members teaching in the program and
   b. if applicable, document faculty experience in directing student research or creative work (always applicable for doctoral programs).

Common Content C– Resources

Library and Learning/Information Resources

1. List and describe discipline-specific learning resources to support a new program. Do not list all library resources; include only those related to the proposed change. If electronic databases are listed, describe the discipline-specific suites of resources rather than the name only of the database or the consortium through which it is accessed (Such as Galileo, Louis, TexShare, Viva, etc.).
2. Document discipline-specific refereed journals and primary source materials. This is particularly important for graduate programs and especially important for doctoral programs.
3. Describe how students enrolled in a new program, at an off-campus instructional site, or in a distance education program can access discipline-specific library and learning/information resources.

4. Describe how students are made aware of library and learning/information resources available to them, how they can learn how to access the resources and are instructed in the use of online resources, as well as on-site library resources.
5. Describe resources to support students in access to and use of library and learning/information resources.

Student Support Services

1. Describe specific programs, services, and activities which will support students enrolled in the new program and / or enrolled at a new off-campus site /additional location and / or enrolled in distance education programs. Do not list student support services which are not relevant to the specific change.

Physical Resources

1. Describe the adequacy of physical facilities which will support the change.
2. Describe equipment which will be available for a new program or available at a new site.
3. Describe the impact that the proposed change will have on physical facilities and equipment for existing programs and services.

Financial Resources

1. Describe in narrative the financial resources needed to initiate and provide on-going support of the proposed change.
2.

iv. must explain how it will inform students of any additional costs associated with teach-out options, and
v. must provide copies of all planned communication from the institution and from the teach-out institution(s) related to the closure to demonstrate the institutions are making accurate statements about students' ability to transfer credits to the teach-out institution(s).

2. Student academic records
    a. Describe a plan to preserve and make available to former students all academic transcripts including validations/confirmations of academic credentials awarded to former students.
    b. Identify the party to whom academic records will be entrusted and include a physical address and contact information.
    c. Identify any state or other governmental agency requirement regarding disposition of academic records.
    d. Describe a plan to inform current and former students how they may request transcript copies.
    e. Include a description of any encumbrances placed on access to academic records such as withholding transcript copies if a former student has an outstanding balance owed *to the institution*.
3. Student accounts receivable
    a. Describe a plan to collect outstanding balances owed *to the institution* by students and former students after the closure.
    b. Include a description of how students and former students will be informed of the institution’s intention to collect.
4.

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iii. must include how it will inform students how to access transcripts, other academic records (such as advising plans), financial records (such as payments due to the institution), and financial aid records (such as loan processors),
iv. must explain how it will inform students of any additional costs associated with teach-out options, and
v. must provide copies of all planned communication from the institution and from the teach-out institution(s) related to the closure to demonstrate the institutions are making accurate statements about students' ability to transfer credits to the teach-out institution(s).

2. Student academic records
    a. Describe a plan to preserve and make available to former students all academic transcripts including validations/confirmations of academic credentials awarded to former students.
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    d. Describe a plan to inform current and former students how they may request transcript copies.
    e. Include a description of any encumbrances placed on access to academic records such as withholding transcript copies if a former student has an outstanding balance owed *to the institution*.
3. Student accounts receivable
    a. Describe a plan to collect outstanding balances owed *to the institution* by students and former students after the closure.
    b. Include a description of how students and former students will be informed of the institution's intention to collect.
4. Refunds and loan discharges
    a. Describe a plan to provide all potentially eligible students with information about how to obtain a closed school discharge and, if applicable, information on State refund policies.
5. Re-employment
    a. Explain how the institution will assist faculty and staff in finding new employment.
6. Programs (report on spreadsheet template; see below)
    a. Provide a list of all academic programs offered by the institution for all credentials (e.g., certificates, diplomas, degrees) and for all instructional levels (associate, baccalaureate, master's, education specialist, or doctoral, as applicable to the institution).
    b. The program list must include for *each* program
        i. at least two teach-out institutions offering comparable programs where students could complete their program of study, and
        ii. for each program / teach-out institution combination,

1. a statement of assurance that the method of delivery is comparable,
2. a good faith assessment of the

Joint Academic Award with non-SACSCOC Institution(s) or Entity(ies)

☑ Submit a prospectus to include the following:

1. A Substantive Change Cover Sheet [PDF].
2. For each partnering institution, provide
   a. the name, address, and web address of the institution,
   b. the institutional accreditor of each institution,
   c. if the accreditor of each institution is a U.S. Department of Education (USDE) recognized institutional accreditor.
3. For each partnering institution, provide the name and contact information of the primary responsible party who for the proposed program.
4. A copy of a dated and signed agreement between or amongst all participating institutions.
5. For each partnering institution accredited by USDE recognized institutional accreditor, document each institution is not on public sanction by the accreditor.
6. Describe the program curriculum and graduation requirements.
7. Document the institution meets provisions of Standard 10.9 (cooperative academic arrangements) of the *Principles of Accreditation*,
8. Document how the institution considers and award transfer credit from another institution, as applicable.
9. Describe the institution's plan to monitor and ensure that the quality of contributions made by the partner institution(s) meets SACSCOC expectations.
10. A plan and process produced by the SACSCOC-accredited institutions ensuring that the agreement does not result in the appearance of extending SACSCOC accreditation to partner institutions through promotional materials, academic publications, student trans

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9. Provide an analysis of the impact of the change in student learning outcomes.
10. For a decrease in program length, explain how program quality and integrity are maintained with fewer credit hours and/or a shorter time-to-completion.
11. Provide an explanation of the impact on students' time-to-completion.
12. Provide an explanation of the financial impact to students.
13. Provide an explanation of the impact on staffing and faculty workloads.

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b. Demonstrating how the institution will have academic assessment and evaluation processes that include the regular and robust assessment and evaluation of each of the institution's off-campus instructional sites / additional locations.
c. Demonstrating how the institution will engage in ongoing and thorough long-range planning processes for expansion of instructional and other services to off-campus instructional sites / additional locations.
d. Demonstrating financial resources and financial stability by submitting for review the institution's two most recent financial statement audits.

Note: *As part of the extensive review, the SACSCOC Board of Trustees will review the institution's audits and SACSCOC financial responsibility score based on financial data submitted by the institution as part of its annual financial profile. If it is not satisfied with the institution's financial stability, the SACSCOC Board of Trustee may deny approval.*

Off-campus Instructional Site Approval (including branch campus) by Limited Review

☑ Submit a prospectus to include the following:

1. A completed Substantive Change Cover Sheet [PDF].
2. If multiple sites are proposed in a consolidated prospectus (see qualifying criteria), address each site separately, viz., the description of the physical resources and a Faculty Roster Form separated by site.
3. Site name (must be unique, i.e., it cannot be the same as an institution's existing site).
4. The physical address or location of the site (i.e., no post office box numbers only).
5. The intended implementation date. c

successfully demonstrated competencies and the level of mastery attained.

Cooperative academic arrangement: An agreement between a SACSCOC-accredited institution and another entity (or entities) to deliver program content recorded on the SACSCOC institution's transcript as its own (see also Standard 10.9 (Cooperative academic arrangements) of the *Principles of Accreditation*). Examples include geographic or denominational consortia, statewide distance education agreements, collaborative agreements with international institutions, and contractual instruction.

Correspondence courses: Courses in which students and instructors are not in the same locations and in which instructional materials and learning assessments (such as examinations, assignments, creative works, etc.) are delivered electronically or by mail. Interaction between instructor and student is limited, is not regular and substantive, and is primarily initiated by the student. Courses are usually self-paced within limits.

Direct Assessment
See competency-based education by direct assessment

Distance education: A method of delivery in which 50% or more of instruction occurs when students and instructors are not in the same location. It includes synchronous (live or in real-time) and asynchronous (not live or in real-time) instruction.
(See also method of delivery)

Distance learning
See distance education

Dual academic award: A student receives instruction at two (or more) institutions in prescribed curricula leading to each institution granting academic awards at the same credential level.
(See also joint academic award)

Educational program
See program

Face-to-face instruction: A method of delivery in which 50% or more of instruction occurs when students and instructors are in the same location.
(See also method of delivery)

Federal regulations: Rules and regulations of the U.S. Department of Education (USDE) as codified in the Code of Federal Regulation (C.F.R.) including but not limited to 3dr
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institution or entity.
(See also acquisition)

Method of delivery: The principal method by which instruction is delivered to include:

- competency-based education (all forms),
- distance education, and
- face-to-face instruction.

Notification: An official communication from an institution to SACSCOC as defined in Substantive Change Policy and Procedures. A notification is complete only when accepted by SACSCOC upon satisfactory review by staff.
(See also approval)

defined criteria. The criteria are defined in this policy and the additional or different requirements are identified for each substantive change type. These restrictions and the criteria for which institutions are affected are required by federal regulations.

Teach-out: The process and time period of a teach-out plan.
(See also closure, teach-out agreement, and teach-out plan)

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Appendix D: Summary of Recent Changes[1]

- March 2022: Multiple updates and revisions (in approximate order of appearance) –
  - Moved the language addressing "Numerous change" (previously described as "Extensive changes") from procedures to policy.
  - Added language regarding teach-out institutions' – the institutions to which students in closed programs or sites may complete their programs of study – in addition to requests exceptions to Standards 9.4 or 9.5 to accommodate displaced students as addressed in the new Request for a Period of Noncompliance policy.
  - Removed reference to the obsolete and removed Good Practices document for closing a program, site, branch or institution (all of which is now addressed in the substantive change policy).
  - Added an additional requirement, mandated in federal regulations (34 C.F.R. § DD Q G R U F (that institutions submit copies of planned communications regarding credit transfers with all closure approval requests/teach-out plans involving other institutions.
- December 2021: Multiple updates and revisions (in approximate order of appearance) –
  - Note: There are no material changes to policy; most changes are in procedures.
  - Institutional disclosure of reimbursement status for title IV federal student aid programs is no longer required with each substantive change submission.
  - "Instructional level" parenthetical references changed from "undergraduate or graduate" to "associate, baccalaureate, master's, education specialist, or doctoral." These appear under the What to submit sections for substantive change types. The changes are for precision and internal consistency (12 instances changed). "Instructional level" is added to the glossary.
  - Information added under the What to submit section to be submitted for these substantive change types:
    - New Program – Approval
    - New Program – Notification
    - Off-campus Instructional Site Approval (by extensive review and by limited review)
    - Information to be submitted added in Appendix A to
      - Common Content B – Faculty Qualifications, and
      - Common Content C – Resources.
  - Corrected the criteria comparison for Program Length Change for institutions not on SUBSTANTIVE CHANGE RESTRICTION versus institutions that are on restriction.
  - Re-stated the criteria for Off-campus Instruction Approval for parallel form for

- Added to Off-campus Instruction Approval (for extensive review and for limited review) the option to consolidate multiple sites into a single prospectus if conditions are met; this information was previously included but only in the Fees section.
- Off-campus Instructional Site Approval now cross-references the requirements for international visits in the Committee Visits section
- Appendix A, Common Content B – Faculty Qualifications: additional guidance for demonstrating faculty qualification and faculty adequacy.
- Appendix A, Common Content C – Resources (financial resources): clarifications only; no new information requested.
- Created a new appendix Q – Quick Reference – with
  - a table of substantive change types and related information, and
  - a table of the triggers (i.e., conditions) that place an institution on SUBSTANTIVE CHANGE RESTRICTION or require an institution to submit and Institutional Contingency Teach-out Plan.
- Multiple document accessibility issues addressed. ine

- Multiple clarifications and grammatical, typographical, and technical corrections.

- March 11, 2021: Multiple updates and revisions (in approximate order of appearance)
  - Clarified in the policy statement that federal regulations prohibit agreements with non title IV entities providing more t/ e6 i6t9of1 (6t9a (/u16.08 re W n EMC ( )Tj 0 -1.15 Tdi)-.a 1