

**Substantive Change Compliance Procedure**  
**Supplemental to University Policy 208**  
**Updated October 3, 2016**

**I. Introduction**

The purpose of this procedure is to describe the process the University of North Carolina at Charlotte shall use to ensure that it identifies, manages and reports to its accrediting body, the Southern Association of Colleges and Schools-Commission on Colleges (SACSCOC-COC), all substantive changes as defined in the UNC Charlotte Southern Association of Colleges and Schools Substantive Change Compliance Policy and in accordance with [UNC Charlotte Policy 208, Substantive Change Compliance Policy](#).

**II. Procedure Statement**

The University of North Carolina at Charlotte will maintain compliance through collaboration across the institution and with thorough and timely reporting on areas of substantive change to SACSCOC-COC. Responsibility for each substantive change is defined below and in the table that follows.

1. The Chancellor will sign and send to the President of the SACSCOC-COC, as appropriate for the particular type of substantive change either:
  - a. timely notifications summarizing proposed changes, or
  - b. a timely substantive change prospectus or application.
2. The SACSCOC Accreditation Liaison, appointed by the Chancellor as required by SACSCOC- COC, will be responsible for the following:
  - a. Ensuring that compliance with substantive change requirements is incorporated into the planning and evaluation process of the institution.
  - b. Preparing substantive change notification letters for the signature of the Chancellor in accord with the substantive change policies of the SACSCOC-COC.
  - c. Ensuring preparation of any required substantive change prospectus or application for the signature of the Chancellor in accord with the substantive change policies of the SACSCOC-COC.
  - d. Notifying faculty, staff and cross-functional committees regarding SACSCOC-COC Substantive Change policies and procedures, particularly when such policies or procedures are revised by the Commission.
  - e. Maintaining a database of substantive change initiatives, action plans and status.
  - f. Informing the Senior Associate Provost of active substantive change issues.
  - g. Collaborating with the appropriate responsible administrator(s) in initiative planning and implementation for any initiative that requires substantive change notification or approval.
  - h. Serving as a contact person and communication liaison between SACSCOC-COC staff and the institution regarding substantive change.
3. Institutional administration, including but not limited to the Chancellor, Vice Chancellors, Deans, and related unit directors will be responsible for the following:
  - a. Learning about and maintaining awareness of current Substantive Change policies.
  - b. Ensuring appropriate training for employees, committees, faculty, and all who have explicit responsibility for Substantive Change as outlined in the following table.
  - c. Initiating communication with the SACSCOC-COC Accreditation Liaison when an initiative or curricular change is being considered that may be defined as Substantive Change.
  - d. Managing any approved initiative which requires SACSCOC substantive change notification or approval, and keeping the SACSCOC Accreditation Liaison informed of status.

## Reporting the Various Types of Substantive Change

Types of Change	Prior Notification Required	Prior Approval Required	Documentation and Time Frame for Contacting SACSCOCCOC	Responsible Office(s)
Initiating coursework or programs at a different level than currently approved	No	Yes	<a href="#">Application for Level Change</a>  <b>Due dates:</b> March 15 (for June review) September 1 (for December review)	Provost, Deans, SACSCOC Liaison
Initiating off-campus sites where student can obtain 50% or more credits toward a program (including but not limited to Early College High School, dual enrollment programs offered at a high school, and certificate programs that are not at employer's request and not on short notice)	No	Yes	Cover Sheet Prospectus  <b>Due dates:</b> January 1 for 7/1-12/31 implementation July 1 for 1/1-6/30 implementation	Provost, Director of Distance Education and Summer School, SACSCOC Liaison
Expanding at current degree level ( <i>significant departure from current programs</i> ).				Provost, Deans, SACSCOC Liaison
Expanding program offerings at previously approved off-campus sites by adding programs that ARE significantly different from current programs at the site AND at the institution				Provost, Deans, SACSCOC Liaison
Initiating degree completion programs				Provost, Deans, SACSCOC Liaison
Initiating a branch campus				Chancellor, Provost, SACSCOC Liaison
Initiating distance learning by offering 50% or more of the first program for the first time				Provost, Director of Distance Education and Summer School, SACSCOC Liaison
Relocating a main or branch campus				Chancellor, Provost, SACSCOC Liaison
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 SACSCOCCOC accredited institution				Provost, Deans, SACSCOC Liaison

Types of Change	Prior Notification Required	Prior Approval Required	Documentation and Time Frame for Contacting SACSCOC	Responsible Office(s)
Initiating dual or joint degrees involving program expansion (significant departure) or initiating a new site where student can obtain 50% or more credits toward a program	No	Yes	Cover Sheet Prospectus  <b>Due dates:</b> January 1 for 7/1-12/31 implementation July 1 for 1/1-6/30 implementation  Copy of signed agreement, contact information for each institution, and additional details on non-SACSCOC institution(s) involved. See Policy	Provost, Deans, SACSCOC Liaison
Initiating dual or joint degree with at least one institution <u>not</u> accredited by SACSCOC	At least 6 months prior to implementation	Yes	Acceptance of notification, copy of signed agreement, contact information for each institution, and additional details on non-SACSCOC institution(s). See Policy.	Provost, Deans, SACSCOC Liaison
Initiating a direct assessment competency-based program	Yes – Screening Form	Yes	Submit “Screening Form” with letter of notification. If Prospectus is required, <b>Due dates:</b> March 15 (for June review) September 1 (for December review)	Provost, Deans, SACSCOC Liaison
Initiating a merger/consolidation with another institution	Yes: December 15 (for June review); June 1 (for December review)	Yes	Cover Sheet Institutional Summary Form Prospectus (See Appendix in SACSCOC Policy: <a href="#">“Mergers, Consolidations, Change of Ownership, Acquisitions, and Change of Governance, Control, Form, or Legal Status”</a> )  <b>Due dates:</b> March 15 (for June review); September 1 (for December review)	Chancellor, Provost, SACSCOC Liaison
Changing governance, ownership, control, or legal status of an institution				Chancellor, Provost, SACSCOC Liaison
Acquiring any program or site from another institution				Chancellor, Provost, SACSCOC Liaison
Adding a permanent location at a site where the institution is conducting a teach-out for students from another institution that is closing				Chancellor, Provost, SACSCOC Liaison

Types of Change	Prior Notification Required	Prior Approval Required	Documentation and Time Frame for Contacting SACSCOCCOC	Responsible Office(s)
Initiating a certificate program at a new off-campus site at employer's request and on short notice (previously approved program)	No	Yes	Cover Sheet Modified prospectus Contact Commission Staff.	Provost, Deans, Director of Distance Education and Summer School, SACSCOC Liaison
Initiating a certificate program that is a significant departure from previously approved programs at employer's request and on short notice				Provost, Deans, SACSCOC Liaison
Adding a site under a U.S. military contract for a previously approved program				Provost, Director of Distance Education and Summer School, SACSCOC Liaison
Altering significantly the length of a program				Provost, Deans, SACSCOC Liaison
Altering significantly the educational mission of the institution				Chancellor, Provost, SACSCOC Liaison
Changing from clock hours to credit hours	No	Yes	Justify reasons for change, indicate calculation of equivalency, and other pertinent information	Provost, Deans, SACSCOC Liaison
Moving an off-campus instructional site (serving the same geographic area)	Yes	No	Letter of notification with old address, new address, and implementation date	Provost, Director of Distance Education and Summer School, SACSCOC Liaison
Initiating dual or joint degrees with other SACSCOCCOC accredited institution(s)	At least 6 months prior to implementation	No	Acceptance of notification, copy of signed agreement and contact information for each institution. See Policy.	Provost, Deans, SACSCOC Liaison
Initiating programs or courses offered through contractual agreement or consortium	Yes	No	Letter of notification and copy of signed agreement	Provost, Deans, SACSCOC Liaison
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 SACSCOCCOC accredited institution				Provost, Deans, SACSCOC Liaison

Types of Change	Prior Notification Required	Prior Approval Required	Documentation and Time Frame for Contacting SACSCOC	Responsible Office(s)
Initiating off-campus sites where student can obtain 25-49% of credits toward a program (including but not limited to Early College High School, dual enrollment programs offered at a high school, and certificate programs that are not at employer's request and not on short notice)	Yes	No	Letter of notification including street address and implementation date	Provost, Director of Distance Education and Summer School, SACSCOC Liaison
Initiating distance learning by offering 25-49 of the first program for the first time				Provost, Director of Distance Education and Summer School, SACSCOC Liaison
Closing a program, approved off-campus site, branch campus, or institution where the institution plans to teach out its own students	Yes	Yes	Description of teach-out plan included with letter of notification	Provost, Deans, SACSCOC Liaison
Closing a program, approved off-campus site, branch campus, or institution where the institution plans contracts with another institution(s) to teach-out students (Teach-out Agreement)	Yes	Yes	Description of teach-out plan, copy of signed teach-out agreement(s) detailing terms included with notification	Provost, Deans, SACSCOC Liaison

Types of Change	Prior Notification Required	Prior Approval Required	Documentation and Time Frame for Contacting SACSCOC	Responsible Office(s)
Initiating a certificate program at employer's request and on short notice using existing approved courses and location	No	No	NA	NA
Initiating certificate program (not at employer's request and not on short notice) using existing approved courses and location				N/A
Initiating off-campus sites (including Early College High School and dual enrollment programs offered at the high school) where student can obtain 24% or less of credits toward a program				NA
Expanding program offerings at previously approved off-campus sites by adding approved programs that ARE NOT significantly different from current programs at the site				NA
Expanding program offerings at previously approved off-campus sites by adding approved programs that ARE significantly different from current programs at the site but NOT at the institution				NA
Initiating distance learning by offering 24% or less of any program for the first time				NA

**III. Definition**

A "Substantive Change" is a significant modification or expansion of the nature and scope of an accredited institution as defined by SACSCOC-COC and as set forth in UNC Charlotte Policy 208, Substantive Change Compliance Policy.

**IV. Related Policies, Procedures and Resources**

- University Policy 208, Substantive Change Compliance Policy: <http://legal.uncc.edu/policies/up-208>
- Southern Association of Colleges and Schools, Commission on Colleges: [www.SACSCOCcoc.org](http://www.SACSCOCcoc.org)
- Southern Association of Colleges and Schools, Commission on Colleges Policy Statement on Substantive Change for Accredited Institutions: <http://www.SACSCOCcoc.org/pdf/081705/SubstantiveChange.pdf>