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| **DOCUMENTATION FOR THE SUBSTANTIVE CHANGE COMMITTEE**  **Change of Control, Ownership, or Governance**  ***This document (with appropriate supporting evidence) should be completed by the institution hosting an authorized Substantive Change Committee for a change of control, a change of ownership, a change of governance, or a change of legal status. This form should NOT be used for a merger, consolidation, or acquisition of parts or all of another institution or institutions.*** |

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| **Statement Regarding All Substantive Change Documentation Forms**  *Please note that this and all the SACSCOC Substantive Change Documentation forms contain the standards typically provided to a visiting committee. Additional standards may be added by SACSCOC staff as needed to provide the visiting team with relevant information necessary to making an informed determination regarding the change.* |

**Name of the Institution:**

**Dates of Visit:**

By signing below, we attest to the following:

That \_\_\_\_\_\_\_\_\_\_\_\_\_ *(name of institution)* has attached a complete and accurate overview of the proposed Substantive Change.

That \_\_\_\_\_\_\_\_\_\_\_\_\_ *(name of institution)* has provided complete and accurate disclosure of timely information regarding compliance with the selected sections of the *Principles of Accreditation* affected by this Substantive Change.

**Name and signature of the President:**

**Name and signature of the Accreditation Liaison:**

**SACSCOC Staff Member assigned to the Institution**:

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| **Part I.** **Overview and Introduction to the Institution** |

*Provide a timeline for the change. Discuss the rationale for the change. If programs are being added or dropped as a result of the change, provide evidence of SACSCOC approval of those changes (e.g., approval of teach-out arrangements), and include a completed “Institutional Summary Form Prepared for Commission Reviews.”*

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| Part II. Assessment of Compliance |

*Provide narrative and documentation to support compliance with each standard,* ***emphasizing the impact of the substantive change on that aspect of the institution****. Only address the change in control, ownership, or governance except where broader information is needed to establish compliance.*

**Section 1: The Principle of Integrity**

1.1 **The institution operates with integrity in all matters.**

*(Integrity)* **[CR]**

*[No response necessary. This standard will be addressed by the visiting committee, not by the institution.]*

Narrative:

**Section 2: Mission**

2.1 **The institution has a clearly defined, comprehensive, and published mission specific to the institution and appropriate for higher education. The mission addresses teaching and learning and, where applicable, research and public service.**

*(Institutional mission)* **[CR]**

Narrative:

**Section 3: Basic Eligibility Standard**

3.1 **An institution seeking to gain or maintain accredited status**

3.1.a **has degree-granting authority from the appropriate government agency or agencies.**

*(Degree-granting authority)* **[CR]**

*[Provide the legal name of the institution as well as the common name of the institution. If the name(s) have changed as a result of the change in control, ownership, or governance, explain. Include the dates for governmental approval and implementation of the change along with supporting documentation.]*

Narrative:

**Section 4: Governing Board**

4.1 **The institution has a governing board of at least five members that:**

(a) **is the legal body with specific authority over the institution.**

(b) **exercises fiduciary oversight of the institution.**

(c) **ensures that both the presiding officer of the board and a majority of other voting members of the board are free of any contractual, employment, personal, or familial financial interest in the institution.**

(d) **is not controlled by a minority of board members or by organizations or institutions separate from it.**

(e) **is not presided over by the chief executive officer of the institution.**

*(Governing board characteristics)* **[CR]**

Narrative:

4.2 The governing board

4.2.b ensures a clear and appropriate distinction between the policy-making function of the board and the respective responsibilities of the administration and faculty to administer and implement policy.

*(Board/administrative distinction and shared governance)*

Narrative:

4.2.c selects and regularly evaluates the institution’s chief executive officer.

*(CEO evaluation/selection)*

Narrative:

4.2.d defines and addresses potential conflict of interest for its members.

*(Conflict of interest)*

Narrative:

4.2.e has appropriate and fair processes for the dismissal of a board member.

*(Board dismissal)*

Narrative:

4.2.f protects the institution from undue influence by external persons or bodies.

*(External influence)*

Narrative:

4.2.g defines its responsibilities and regularly evaluates its effectiveness.

*(Board self-evaluation)*

Narrative:

4.3 If an institution’s governing board does not retain sole legal authority and operating control in a multiple-level governance system, then the institution clearly defines that authority and control for the following areas within its governance structure: (a) institution’s mission, (b) fiscal stability of the institution, and (c) institutional policy.

*(Multi-level governance)*

Narrative:

**Section 5: Administration and Organization**

5.1 **The institution has a chief executive officer whose primary responsibility is to the institution.**

*(Chief executive officer)* **[CR]**

Narrative:

5.2 The chief executive officer has ultimate responsibility for, and exercises appropriate control over, the following:

5.2.a The institution’s educational, administrative, and fiscal programs and services.

*(CEO control)*

Narrative:

5.4 The institution employs and regularly evaluates administrative and academic officers with appropriate experience and qualifications to lead the institution.

*(Qualified administrative/academic officers)*

Narrative:

**Section 10: Educational Policies, Procedures, and Practices**

10.4 The institution (a) publishes and implements policies on the authority of faculty in academic and governance matters, (b) demonstrates that educational programs for which academic credit is awarded are approved consistent with institutional policy, and (c) places primary responsibility for the content, quality, and effectiveness of the curriculum with its faculty.

*(Academic governance)*

Narrative:

**Section 12: Academic and Student Support Services**

12.4 The institution (a) publishes appropriate and clear procedures for addressing written student complaints, (b) demonstrates that it follows the procedures when resolving them, and (c) maintains a record of student complaints that can be accessed upon request by SACSCOC.

*(Student complaints)*

Narrative:

**Section 13: Financial and Physical Resources**

13.4 The institution exercises appropriate control over all its financial resources.

*(Control of finances)*

Narrative:

13.6 The institution (a) is in compliance with its program responsibilities under Title IV of the most recent Higher Education Act as amended and (b) audits financial aid programs as required by federal and state regulations. In reviewing the institution’s compliance with these program responsibilities under Title IV, SACSCOC relies on documentation forwarded to it by the U. S. Department of Education.

*(Federal and state responsibilities)*

Narrative:

**Section 14: Transparency and Institutional Representation**

14.1 The institution (a) accurately represents its accreditation status and publishes the name, address, telephone number, and website address of SACSCOC in accordance with SACSCOC’s requirements and federal policy; and (b) ensures all its branch campuses include the name of that institution and make it clear that their accreditation depends on the continued accreditation of the parent campus.

*(Publication of accreditation status)*

Narrative:

14.5 The institution complies with SACSCOC’s policy statements that pertain to new or additional institutional obligations that may arise that are not part of the standards in the current *Principles of Accreditation*.

*(Policy compliance)*

*(Note: For applicable policies, institutions should refer to the SACSCOC website [http:/www.sacscoc.org])*

14.5.a **“Reaffirmation of Accreditation and Subsequent Reports”**

**Applicable Policy Statement.** If an institution is part of a system or corporate structure, a description of the system operation (or corporate structure) is submitted as part of the Compliance Certification for the decennial review. The description should be designed to help members of the peer review committees understand the mission, governance, and operating procedures of the system and the individual institution’s role with in that system.

**Documentation**: The institution should provide a description of the system operation and structure or the corporate structure if this applies.

14.5.b **“Separate Accreditation for Units of a Member Institution”**

**Applicable Policy Statement**. If SACSCOC determines that an extended unit is autonomous to the extent that the control over that unit by the parent or its board is significantly impaired, SACSCOC may direct that the extended unit seek to become a separately accredited institution. A unit which seeks separate accreditation should bear a different name from that of the parent. If the Southern Association of Colleges and Schools Commission on Colleges determines the unit should be separately accredited or the institution requests to be separately accredited, the unit may apply for separate accreditation from any institutional accrediting association that accredits colleges in that state or country.

**Implementation**: If, during its review of the institution, SACSCOC determines that an extended unit is sufficiently autonomous to the extent that the parent campus has little or no control, SACSCOC will use this policy to recommend separate accreditation of the extended unit. No response is required by the institution.

Narrative: