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| UNIVERSITY OF KENTUCKY ADMINISTRATIVE REGULATIONS | IDENTIFICATION AR 1:5 | PAGE 1 |
| | DATE EFFECTIVE 10/01/09 | SUPERSEDES REGULATION DATED N/A |

SUBSTANTIVE CHANGE POLICY

I. Introduction

The University is accredited by the Commission on Colleges (COC) of the Southern Association of Colleges and Schools (SACS). As a standard of accreditation the University must notify the COC of substantive changes before they occur. The purpose of this policy is to establish institutional procedures for recognizing and approving substantive change and ensuring timely notification to the COC. The University's SACS Accreditation Liaison is the individual responsible for ensuring that this policy is implemented.

II. Definitions

A. The *Commission on Colleges of the Southern Association of Colleges and Schools* is the recognized regional accrediting body in the 11 U.S. southern states and in Latin America for those institutions of higher education that award associate, baccalaureate, master's or doctoral degrees. The Commission 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 by the U.S. Department of Education, the Commission has incorporated federal requirements into its substantive change policy and procedures. Some of those requirements expect an institution to seek approval prior to the initiation of a substantive change so that the change can be included in the institution's scope of accreditation.

B. *Substantive change* is a significant modification or expansion in the nature and scope of an accredited institution, as defined in SACS' substantive change policy and required by Comprehensive Standard 3.12.

C. *Notification* to the COC regarding substantive change means that the President of the University shall send a letter to the President of the Commission on Colleges summarizing the proposed change, providing the intended implementation date, and listing the street address if the change involves the initiation of an off-campus site.

D. A *prospectus* is a concisely worded narrative that describes a proposed substantive change according to a format specified by the COC.

E. The *Accreditation Liaison* is the individual appointed by the President of the University to help ensure the University remains in compliance with SACS accreditation requirements and policies.

F. A *branch campus* is 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.

G. An *off-campus site* is a location of an institution that is geographically apart, but not independent, of the main campus. The site may be used in an ongoing manner to deliver programs or courses leading to a degree, certificate, or other recognized educational credential, but it does not have its own faculty, administrative organization or budget.

H. *Distance education* is 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 employ correspondence study, or audio, video, or computer technologies.

I. A *degree completion program* is an adult or accelerated program, typically at the baccalaureate level, in areas such as management and organizational leadership in which the first two years of the degree program are completed at one institution and a second institution delivers the remaining two years on the first institution's campus.

J. A *teach-out agreement* is a written agreement between accredited institutions that provides for the equitable treatment of students if one of those institutions stops offering an educational program before all students enrolled in that program complete the program. In accord with federal regulation 34 CFR 602.24(c), if an institution enters into a teach-out agreement with another institution, it shall submit the agreement to the office of the Commission on Colleges for approval prior to its implementation.

III. Procedures

A. Approval authority relating to each type of substantive change shall occur at various levels of the University (see Appendix 1 - Matrix of Approval and Recommendation Responsibilities for Substantive Change).

B. The President may delegate administrative responsibilities for approving or recommending on substantive change to the Provost or other appropriate senior administrators (*GR III, Page III-1*). These responsibilities shall be reflected in job descriptions of the positions, letters of appointment, and other appropriate documents for those assigned such responsibilities.

C. In accordance with its academic approval responsibilities as established in *GR IV, C.1, Page IV-2*, the University Senate shall maintain academic program approval procedures and forms that:

1. Recognize substantive changes related to academic programs in appropriate approval documents. These documents shall accompany the proposal at each step;
2. Require approval by the appropriate educational unit faculties and also include any recommendations offered by the corresponding department chair, dean, and/or Provost prior to approval of academic substantive change by the Councils of the University Senate and the University Senate; and
3. Provide for timely notification to the Commission on Colleges prior to change implementation, as required by the SACS substantive change policy.

D. The Accreditation Liaison shall inform all responsible individuals at each level of the University (see Matrix in Appendix 1) of the SACS substantive change policy and the institutional substantive change policy on a biannual basis (August and February) and at the same time shall request notification of substantive changes in planning for the next 12-month period. The 12-month timeframe will provide a long-range outlook to ensure that notifications can be carried out six months prior to implementation of substantive change. The Accreditation Liaison shall prepare the President's notification to the COC regarding the substantive changes that are reported.

E. If a prospectus is subsequently required by the COC, the deans or appropriate senior administrators shall coordinate preparation of the prospectus and forward the prospectus to the Accreditation Liaison for final review.

F. The Accreditation Liaison shall review a required prospectus and obtain approval of the President and the Provost before preparing for submission to COC by the President.

Matrix of Approval and Recommendation Responsibilities for Substantive Change

| Types of Substantive Change | Time Frame for Notifying SACS | Actions Required by Level (A _M =Approval based on Academic Merit; A _F =Approval based on Administrative Feasibility; R=Recommendation Required*; N=Not Required) | | | | | | | | |
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| | | Dept Faculty | Dept Chair | College Faculty | Dean | Councils of the University Senate | University Senate | Provost | President | Board of Trustees |
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| Initiating coursework or programs at a more advanced level than currently approved | 12 months | (Not applicable for the University of Kentucky) | | | | | | | | |
| Expanding at current degree level (<i>significant departure from current programs</i>) | 6 months | A _M | R | A _M | R | A _M | A _M | R | R | A _{FM} |
| Initiating programs at a lower degree level | 6 months | A _M | R | A _M | R | A _M | A _M | R | R | A _{FM} |
| Initiating Off-campus Sites where 25% or more of program offered [i.e., that 25% of the credit hours; a specialized form of distance learning] | 25%--prior to implementation; 50%--6 months | A _M | R | A _M | R | A _M | A _M | R | A _F | N |
| Adding significantly different programs at an approved site (<i>only if programs are currently approved</i>) | Prior to implementation | A _M | R | A _M | R | A _M | A _M | R | A _F | N |
| Initiating distance learning where 25% or more of program offered | 25%--prior to implementation; 50%--6 months | A _M | R | A _M | R | A _M | A _M | R | A _F | N |
| Initiating programs/courses offered through contractual agreement or consortium | Prior to implementation | A _M | R | A _M | R | A _M | A _M | R | A _F | N |
| Altering significantly the length (credit hours) of a program | 6 months | A _M | R | A _M | R | A _M | A _M | R | A _F | N |
| Initiating degree completion programs (note SACS definition) | 6 months | A _M | R | A _M | R | A _M | A _M | R | A _F | N |

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| Closing a program | 6 months | A _M | R | A _M | R | A _M | A _M | R | R | A _{FM} |
| Initiating teach-out agreement within institution | 6 months | A _M | R | A _M | R | A _M | A _M | R | A _F | N |
| Initiating teach-out agreement with another institution | 6 months | A _M | R | A _M | R | A _M | A _M | R | R | A _{FM} |
| ADMINISTRATIVE | | | | | | | | | | |
| Initiating a branch campus | 6 months | R | R | R | R | R | R | R | R | A _{FM} |
| Initiating a merger/consolidation | 6 months | R | R | R | R | R | R | R | R | A _{FM} |
| Relocating a campus | Prior to implementation | R | R | R | R | R | R | R | R | A _{FM} |
| Changing governance, ownership, control, or legal status | 6 months | R | R | R | R | R | R | R | R | A _{FM} |
| Altering significantly the educational mission of the institution | 6 months | R | R | R | R | R | R | R | R | A _{FM} |
| Closing the institution | 6 months | R | R | R | R | R | R | R | R | A _{FM} |

*Recommendation responsibility means having the opportunity to offer an opinion on the academic merit or the administrative feasibility of the proposed change that accompanies a proposal when it is transmitted to the next level of consideration.