• 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 three procedures established by SACSCOC for addressing the different types of substantive changes.
• **Procedure One** for the review of Substantive Changes Requiring Notification and
Approval Prior to Implementation (e.g., initiating a new off-campus site, offering 50% or
more of a new degree program online)
• **Procedure Two** for Review of Substantive Changes Requiring Only Notification Prior
to Implementation (e.g., offering 25-49% of a new degree program online, initiating a
joint degree program with another SACSCOC accredited institution)
• **Procedure Three** for Closing a Program, Site, Branch Campus or Institution (e.g.,
ceasing to offer a degree program at an off-campus site, closing an approved off-
campus site)

Which procedure to be employed for differing types of substantive changes is clarified in the SACSCOC policy statement *entitled Substantive Change for Accredited Institutions of the Commission on Colleges* (see attached Appendix A)(see page 8). The different types of substantive changes, the specific procedure to be used for each, their respective approval/notification requirements, and their reporting time lines are included on pages 14-17. A detailed presentation of the procedural steps to be followed in executing Procedure One, Procedure Two, or Procedure Three is presented on pages 23-34.

**University of Alabama Substantive Change Process**

**Responsibilities and Actions:**

**Overall Responsibility**

The Provost and Executive Vice President, Vice Presidents, Deans, and Directors have a fundamental responsibility to be aware of the University's substantive change policy and to assure that their staff adhere to this policy.

**Implementation Responsibilities**

**Academic Department Chair**

It is the responsibility of the respective academic department chair (on behalf of his/her faculty) to initiate appropriate action steps if the substantive change involves offering degree programs or
certificate programs at an off-campus location or utilizing a distance education delivery format (see Appendix A pages 10-11) for a Glossary of Terms related to Substantive Change).

- **New Degree Program or Certificate Program:**
  If the substantive change involves a **new** degree program or certificate program to be offered online or at an off-campus location, the Department Chair should follow either **Procedure One** or **Procedure Two** referenced above.

- **Existing Approved Degree Program or Certificate Program:**
  If the substantive change involves an already **existing and approved** degree program or certificate program to be offered at an off-campus site or utilizing a distance education delivery format, prior SACSCOC approval is **not** required. However, the university is still expected to ensure that all appropriate **Principles of Accreditation** core requirements, comprehensive standards and federal requirements are met by the distance offering. To ensure that end, the Department Chair is required to follow the defined process and procedural steps enumerated in Appendix B of this UA Substantive Change Policy (see Appendix B, page 41 – *Converting an Approved Campus-based Degree Program to a Distance Offering*),

- Sign the UA Substantive Change Routing Approval Form (see attached) and forward it and all supporting documentation to the College Associate Dean.

**Designated College Associate Dean**

It is the responsibility of the designated associate dean within the respective college advancing the substantive change to

- Review the substantive change documentation and resolve any questions or issues surfacing from that review with the department chair,
- **Verify** that the actions steps executed by the department chair ensure that all SACSCOC and federal regulations pertaining to substantive change have been met,
- Sign the UA Substantive Change Routing Approval Form (see attached page 7) and forward it and all supporting documentation to the College Dean.

**College Dean**

It is the responsibility of the college dean to

- Review the substantive change documentation and resolve any questions or issues surfacing from that review with the College Associate Dean,
- **Approve** the substantive change verifying that all federal, SACSCOC and UA substantive change requirements have been met,
- Share the approved substantive change documentation with the Dean/Associate Dean of the Graduate School (if the substantive change pertains to graduate level degree programs) for review and verification that all UA Graduate School requirements have been met (e.g., assigned faculty are members of the UA graduate faculty, a graduate program director responsible for the program has been named, etc.),
- Share the completed substantive change with the Associate Provost for International Education and Global Outreach (if the substantive change pertains to the delivery of degree programs or certification programs at international sites) for review and verification that
provisions within the Memorandum of Understanding are consistent with Capstone International Center academic program policies,
• Sign the UA Substantive Change Routing Approval Form (see attached page 7) and forward it and all supporting documentation to
  a) the UA SACSCOC Liaison
  b) the Provost and Vice President for Academic Affairs.

Graduate School Dean

It is the responsibility of the Dean of the Graduate School to
• Review substantive changes that pertain to graduate level degree programs and resolve any questions or issues that surface during that review with the respective college associate dean,
• Verify that all UA Graduate School requirements have been met in the substantive change (e.g., assigned faculty are members of the graduate faculty, a graduate program director responsible for the program has been named, etc.),
• Sign the UA substantive change Routing Approval Form (see attached page 7) and forward it to
  a) the UA SACSCOC Liaison
  b) the Provost and Vice President for Academic Affairs.

Associate Provost for International Education

It is the responsibility of the Associate Provost for International Education to
• Review substantive changes that pertain to the delivery of degree programs or certificate programs at international sites and resolve any questions or issues that surface during that review with the respective college associate dean,
• Verify that provisions within the Memorandum of Understanding are consistent with Capstone International Center academic program policies,
• Sign the UA substantive change Routing Approval Form (see attached page 7) and forward it to
  a) the UA SACSCOC Liaison
  b) the Provost and Vice President for Academic Affairs.

UA SACSCOC Liaison

It is the responsibility of the UA SACSCOC Liaison to
• Review substantive change documentation and resolve any questions or issues that surface during that review with the college dean/associate dean/department chair, the Graduate School Dean or the Associate Provost for International Education,
• Advise the Provost and Vice President for Academic Affairs concerning any question or issue requiring an institution-level decision prior to final approval of the substantive change,
• Inform the university leadership of changes in SACSCOC policies and procedures related to substantive change,
• Maintain the SACSCOC website to include the most recent updated version of the UA Substantive Change Policy and the most recent list of approved undergraduate and graduate degree programs and certificate programs,
• Draft a letter for the Provost & VP for Academic Affairs from the UA President to the SACSCOC President notifying the SACSCOC of the substantive change when SACSCOC notification and/or approval is necessary.

Provost & Vice President for Academic Affairs

It is the responsibility of the UA Provost and Vice President for Academic Affairs
• to review the substantive change documentation with the UA SACSCOC Liaison to confirm that no issues or questions remain that justify withholding approval for the substantive change,
• to sign the UA Substantive Change Routing Approval Form (see attached page 7) approving the substantive change,
• to finalize the draft letter to the SACSCOC President notifying/seeking approval (when necessary) for the substantive change,
• to share communications pertaining to the substantive change to and from the SACSCOC with the respective college dean,
• to notify the University Registrar of the approved substantive change by sending a copy of the completed routing form so that the courses making up the degree program can be appropriately coded in the UA registration system (e.g., as an online offering, as an off-campus offering, etc),
• to notify the Dean of the College of Continuing Studies (if the substantive change involves online or electronic delivery of courses, or if the substantive change involves offering the degree program at the Gadsden Center) of the approved substantive change by sending a copy of the completed routing form to the CCS Dean so that CCS may initiate their support functions.

Means by Which Institutional Constituents are Informed of the UA Substantive Change Policy and Procedure:

The Provost and Executive Vice President, Vice Presidents, Deans, and Directors have a fundamental 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 SACSCOC website with links to it from numerous other UA websites (e.g., Academic Affairs, Graduate School, OIE, OIRA, CCS, etc.)

The UA SACSCOC Liaison will distribute copies of the UA 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 UA SACSCOC Liaison will also update the substantive change policy posting on the UA SACSCOC website.