

Substantive Change Reporting Policy and Procedure

Purpose of the Policy:

This policy is designed to ensure compliance with Standard 14.2 of *The Principles of Accreditation: Foundations for Quality Enhancement*, and to ensure that the University, and each of its Academic Programs, operates within its mission and consistent with good practice in higher education (SACSCOC, 2017, p. 32). LMU's (2020a) mission specifically includes the statement, "By making educational, service, and research opportunities available to students, Lincoln Memorial University seeks to improve life for the students it serves. While serving students from throughout the state, nation, and many other countries, the University retains a commitment to enrich the lives of people and communities in the Appalachian region" (para. 10). Institutional Goal #13 declares the University seeks to, "Provide quality educational opportunities through selected degree programs for students who live and/or work a significant distance from the Lincoln Memorial University main campus, and for whom other options are not as accessible or satisfactory" (LMU, 2020b). Each academic unit and program mission statement is aligned with the institutional mission statement.

Policy

It is the policy of Lincoln Memorial University (LMU) to comply with the accreditation requirements for reporting substantive changes. To fulfill its obligation as a SACSCOC member institution, LMU will notify the Commission on Colleges of changes in accordance with the Commission's substantive change policy and, when required, seek approval prior to the initiation of substantive changes.

This policy was developed in recognition of the requirement for SACSCOC member institutions to have a policy and procedure to ensure that all substantive changes are reported to the Commission in a timely fashion.

LMU is responsible for complying with the Substantive Change policy as a condition of its continued accreditation by SACSCOC. Substantive change is defined by SACSCOC (2021) as "a significant modification or expansion of the nature and scope of an accredited institution" (p. 2).

The *Substantive Change Policy and Procedures* states:

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 the 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 education programs. An agreement offering more than 50% of one or more of an institution's programs is prohibited by federal regulation.
- Substantially increase or decreasing the number of clock hours or credit hours awarded or competencies demonstrated, or an increase in the level of credential awarded, for successful completion of one or more programs.
- Adding competency-based education programs.
- Adding each competency-based education program by direct assessment.
- Adding programs with completion pathways that recognize and accommodate a student's prior or existing knowledge or competency.
- Awarding dual or joint academic awards.
- Re-opening a previously closed program or off-campus instructional site.
- Adding a new off-campus instructional site/additional location including a branch campus.
- Adding a permanent location at a site at which an institution is conducting a teach-out program for students of another institution that has ceased operating before all students have completed their program of study.
- Closing an institution, a program, a method of delivery, and off-campus instructional site, or a program at an off-campus instructional site. (SACSCOC, 2021, pp. 2-3)

The SACSCOC website provides updated policies regarding substantive change in relation to changes within the Department of Education. The *Substantive Changes* webpage



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(<https://sacscoc.org/accrediting-standards/substantive-changes/>) contains current information (SACSCOC, 2019).

The SACSCOC Board of Trustees has approved additional substantive changes that require notification and, in some cases, approval prior to implementation. When the University is unsure whether a change is substantive in nature, the University will contact SACSCOC for clarification.

Procedures

Responsibilities of Trustees, President, Vice Presidents, Academic School/College Deans, Program Directors, and Faculty:

The LMU Board of Trustees reviews and approves substantive changes, on recommendation of the President.

The Vice President for Academic Affairs recommends substantive changes to the President, after consulting with the SACSCOC Accreditation Liaison and attending to the appropriate institutional approval processes, including Academic Council review and review of financial resources by the Vice President for Finance.

Academic Council reviews proposed substantive changes and endorses successful proposals.

Academic School/College Deans approve proposed substantive changes and bring successful proposals to the Academic Council for endorsement and later presentation to the full University faculty. School/College Deans must approve any substantive changes prior to submission to the Vice President for Academic Affairs.

Vice Presidents, Academic School/College Deans, Program Directors, and Faculty have responsibility to be generally aware of the substantive change policy, and to inform the University's SACSCOC Accreditation Liaison at the earliest point possible of any proposal that may be considered a substantive change. Vice Presidents, Academic School/College Deans, Program Directors, and Faculty also have responsibility to provide the SACSCOC Liaison with any data, information, or prospectus necessary to comply with SACSCOC policy, when requested. Faculty must approve substantive changes that originate in their Academic School/College prior to submission of the proposal to Academic Council.

SACSCOC Accreditation Liaison:

- Provides the Vice Presidents, Academic School/College Deans, and Program Directors with information about the SACSCOC substantive change policy. This includes, but is not limited to, providing information at meetings of the Academic Council, Institutional Effectiveness Committee and University Strategic Planning Retreats.



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- Works with other Vice Presidents, Academic School/College Deans, and Program Directors to determine whether a proposed change is substantive.
- Determines what action is needed with respect to SACSCOC when a change is substantive in nature.
- Files the appropriate notice or prospectus with SACSCOC.
- Coordinates with SACSCOC and the Vice Presidents, Academic School/College Deans, and Program Directors about any required follow-up action.

Notification of SACSCOC Liaison of Proposed Changes

If a change is substantive, SACSCOC must be notified as much as 12 months in advance of implementing the change. Upon becoming aware of a proposed change that may be substantive, Vice Presidents, Academic School/College Deans, and Program Directors of the academic unit proposing the change should notify the SACSCOC Accreditation Liaison. The appropriate Vice President and/or Academic School/College Dean will provide the SACSCOC Accreditation Liaison with a copy of the proposed substantive change prior to the Academic Council meeting in which endorsement will be sought. The SACSCOC Accreditation Liaison will then determine if any proposal could be considered a substantive change.

Late Notification of SACSCOC Liaison

If it is discovered that a substantive change has been implemented without notification of the SACSCOC Accreditation Liaison, the appropriate Vice President, Academic School/College Dean, or Program Director has responsibility to notify the SACSCOC Accreditation Liaison immediately. It is then the responsibility of the SACSCOC Accreditation Liaison to notify SACSCOC as provided in the SACSCOC Policy.

To ensure that proposals that may be considered substantive change do not go unreported, Vice Presidents and Academic School/College Deans will perform an annual review of curriculum, taking into consideration this substantive change policy.

Regular Review of the Policy and Procedures

A review of all anticipated academic initiatives will be conducted at the Annual Strategic Planning Retreat to monitor potential substantive changes. This policy and procedures will be reviewed at the Annual Strategic Planning Retreat and at the first meeting of the Academic Council each Fall semester (beginning Fall 2014).



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References

- Lincoln Memorial University (LMU). (2020a). *Heritage & mission*. <https://www.lmunet.edu/about-lmu/heritage-mission.php>
- Lincoln Memorial University (LMU). (2020b). *Institutional goals*. <https://www.lmunet.edu/institutional-effectiveness/institutional-goals.php>
- Southern Association of Colleges and Schools Commission on Colleges (SACSCOC). (2017). *The principles of accreditation: Foundations for quality enhancement*. <https://sacscoc.org/app/uploads/2019/08/2018PrinciplesOfAccreditation.pdf>
- Southern Association of Colleges and Schools Commission on Colleges (SACSCOC). (2019). *Substantive changes*. <https://sacscoc.org/accrediting-standards/substantive-changes/>
- Southern Association of Colleges and Schools Commission on Colleges (SACSCOC). (2021). *Substantive change policy and procedures*. <https://sacscoc.org/app/uploads/2019/08/SubstantiveChange.pdf>

Implementation Date:

First implemented: 03-05-2012

Revised: 04-08-2014; edited: 07-28-2014

Revised to new Standards: 04-03-2018

Revised to new webpage links: 08-27-2021

Revised: 06-21-2022, at University Strategic Planning Retreat

Published:

LMU Website (Academics: Institutional Effectiveness: Planning)

Posting on MyLMU (Internal Portal) Faculty/Staff Policy Manual (to begin Fall 2014)