



## SUBSTANTIVE CHANGE POLICY

### In Compliance with

#### *Substantive Change for SACSCOC Accredited Institutions Policy Statement*

### I. POLICY REQUIREMENT

Dallas Baptist University is accredited by the Southern Association of Colleges and Schools Commission on Colleges (SACSCOC). SACSCOC's Substantive Change Policy requires that each member institution have their own substantive change policy to guarantee that all institutional substantive changes are reported to the Commission as set forth in SACSCOC's policy and procedures. The Policy defines substantive change as "a significant modification or expansion of the nature and scope of an accredited institution." The SACSCOC policy on substantive change incorporates federal requirements into its substantive change policy and procedures. It states **"Failure to secure approval, if required, of a substantive change involving programs or locations that qualify for title IV federal funding may place the institution in jeopardy with the U.S. Department of Education, including reimbursement of funds received related to an unreported substantive change."**

Dallas Baptist University's *Substantive Change Policy* will apply to all forms of the accreditor's identified categories of substantive changes. Any revisions to this policy shall be incorporated in the policy itself and communicated to all applicable administration, faculty, and staff.

*Implementation of a change that has been identified as substantive cannot occur until the University complies with SACSCOC procedures and receives Commission acknowledgment or approval as appropriate. Additionally, marketing of any proposed substantive change requiring approval must be identified as "pending approval by SACSCOC."*

## II. EFFECTIVE DATE

APPROVED: November 29, 2016; Revised: March 31, 2021

## III. PURPOSE

The purpose of this policy is to establish institutional procedures for recognizing and approving substantive changes and ensuring timely notification to SACSCOC so that Dallas Baptist University is in compliance with Requirement 14.2 which says “The institution has a policy and procedure to ensure that all substantive changes are reported in accordance with the most current SACSCOC policy (Substantive Change).”

## IV. POLICY MANAGEMENT

**Responsible Office:** DBU’s SACSCOC Accreditation Liaison

1. DBU’s SACSCOC Accreditation Liaison is responsible for ensuring compliance with SACSCOC’s and DBU’s substantive change policies. After being informed by the University President, appropriate DBU administrator, college, or department of any modification that could result in a substantive change, the Liaison will oversee the completion and processing of required DBU substantive change forms. Additionally, the Liaison is responsible for sending all required documentation to SACSCOC for all identified substantive changes.
2. The Office of Institutional Effectiveness and Research is responsible for sharing SACSCOC substantive change prospectus templates and editing all substantive change documents after a determination of substantive change has been made.
3. The SACSCOC Accreditation Liaison is responsible for sending all required substantive change documentation to the President of the Commission on Colleges by the required deadlines as identified in the SACSCOC Substantive Change Policy and Procedures.

4. The SACSCOC Accreditation Liaison is responsible for ensuring that all appropriate DBU administrators, faculty, and staff are notified of the Commission decision once received by the University President and Liaison.

**Responsible Administrators:** DBU's Vice Presidents, Provost, Associate Provost, Assistant Provost, Deans, Associate Deans, and Program Coordinators

1. The administrative heads of both academic and non-academic units are responsible for being knowledgeable as to what SACSCOC considers a "significant modification or expansion of the nature and scope of an accredited institution" (see Appendix A for a link to the SACSCOC "Substantive Change for SACSCOC Accredited Institutions Policy Statement" and accompanying related procedures and accreditation information.)
2. Administrative heads of both academic and non-academic units are responsible for the development, implementation, and ongoing review of processes that are consistent with *DBU's Substantive Change Policy*, including publication of and adherence to relevant timelines, submission deadlines, and approval forms.
3. It is the duty of administrators to ensure that the University's SACSCOC Accreditation Liaison is notified of planning for a modification that may prove substantive. The University President will remain informed of all substantive changes that require submission to SACSCOC.

**Other Responsible Parties:** Appropriate DBU faculty and staff are obligated to be familiar with this policy and assist administration in recognizing and reporting such substantive changes to DBU's SACSCOC Accreditation Liaison.

1. This policy applies to all faculty and staff members authorized to initiate, review, approve or prompt changes in any University resource or program.
2. Academic: Deans and/or program coordinators are responsible for identifying substantive changes within their college/school programs.
3. Non-Academic: Department directors/leaders are responsible for documenting/ tracking any information that may be considered part of a substantive change.

## V. DEFINITION OF SUBSTANTIVE CHANGE

"Substantive Change," as it is termed by SACSCOC (December 2020), includes:

- Substantially changing the established mission or objectives of an institution or its programs.
- Changing the legal status, form of control, or ownership of an 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 educational programs.
- 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, an off-campus instructional site, or a program at an off-campus instructional site.

Other substantive changes, including those required by federal regulations, include:

- An institution is required to notify or secure SACSCOC approval prior to implementing a substantive change.
- An institution is responsible for maintaining compliance at all times with Standard 14.2 (Substantive change) of the *Principles of Accreditation* and with the *Substantive Change Policy and Procedures* and related policies, viz.,
  - [Agreements Involving Joint and Dual Academic Awards](#) [PDF];
  - [Credit Hours](#) [PDF];
  - [Direct Assessment Competency-based Educational Programs](#) [PDF];
  - [Distance and Correspondence Education](#) [PDF];
  - [Dual Enrollment](#) [PDF];
  - [Merger/Consolidation, Acquisition, Change of Ownership, and Change of Governance, Control, Form, or Legal Status](#) [PDF]; and
  - [Seeking Accreditation at a Higher or Lower Degree Level](#) [PDF].
- An institution is required to have a written substantive change policy and procedure. It must be approved through institutional processes and published in institutional documents accessible to those affected and to the public. The purpose of the institution's substantive change policy and procedure is to ensure all substantive changes are reported to SACSCOC in a timely fashion as required by *Substantive Change Policy and Procedures*. Institutions are responsible for implementing and enforcing their substantive change policy and procedure.
- An institution's fiscal and administrative capability to operate off-campus instructional sites is assessed when a new site is reviewed for approval and as part of decennial and fifth- year interim reviews.
- A new off-campus instructional site is subject to a substantive change committee visit. A committee visit, when necessary, is authorized when a site is approved. The committee visit ensures the site has the personnel, facilities, and resources identified by an institution in its application or prospectus and ensures the quality of instructional and support services offered at the site.

## VI. SACSCOC SUBSTANTIVE CHANGE PROCEDURES

General requirements universally apply to most or all types of substantive change. They address obligations and processes by an institution and by SACSCOC. Specific requirements are addressed by substantive change type, organized by institutional

changes, off-campus instructional site / additional location changes, and program changes.

**Submission deadlines:** Substantive change prospectus, application, and notification submission deadlines depend on (1) the type of SACSCOC Board of Trustees review, if required and (2) the planned implementation date of the substantive change.

For a substantive change requiring approval by the full Board of Trustees (which meets biannually), to be implemented after the date of the Board meeting, the submission deadlines are

- ⊙ **February 15** to the Office of Institutional Effectiveness and Research for review and
  - ⊙ **March 15** for review at the SACSCOC Board’s biannual meeting in June of the same calendar year, and
- OR**
- ⊙ **August 1** to the Office of Institutional Effectiveness and Research for review and
  - ⊙ **September 1** for review at the SACSCOC Board’s biannual meeting in December of the same calendar year.

For a substantive change requiring approval by the Executive Council of the Board of Trustees (which meets year-round)  
— OR —

for a substantive change requiring notification only, the submission deadlines are

- **December 1** of the previous calendar year to the Office of Institutional Effectiveness and Research for review and
- **January 1** to SACSCOC for changes to be implemented July 1 through December 31 of the same calendar year,

**OR**

- **June 1** to the Office of Institutional Effectiveness and Research for review and
- **July 1** to SACSCOC for changes to be implemented January 1 through June 30 of the subsequent calendar year.

## VII. TYPES OF SUBSTANTIVE CHANGE AND APPLICABLE SACSCOC PROCEDURES

Please see Appendix A.

### DBU PROCEDURES FOR REPORTING A SUBSTANTIVE CHANGE

#### New Academic Program:

1. A *Determination of Substantive Change for a New Academic Program* form (APPENDIX B) must be completed by the dean and submitted to the University SACSCOC Liaison prior to any proposal forms being created for a new stand-alone program, including certificates, degrees, and minors (if no academic major already exists). A projected launch date for the new program is part of the required information.
2. A collaborative determination committee will be composed of the SACSCOC Liaison, Coordinator of Institutional Effectiveness and Research, Dean, Provost, Vice President for Enrollment, and other identified administrators.
3. If the program has been determined to be a substantive change, a *Substantive Change Prospectus*, prepared by the sponsoring college or school, will be required to be submitted to SACSCOC based on the following due dates:

Prospectus Due to SACSCOC	For Implementation
January 1	July 1 to December 31
July 1	January 1 to June 30

4. Once the date for submission to SACSCOC has been identified, the completed *Substantive Change Prospectus* will be due to the SACSCOC Liaison no later than one month prior to mailing to the SACSCOC office.
5. Upon notification from the SACSCOC Liaison, the current curriculum proposal form, "New Program Submission and Signature Approval Form" along with the accompanying documentation must be sent to the Office of Institutional Effectiveness for review prior to being submitted for approval to one of DBU's curriculum committees.

6. After all documentation is returned to the dean or program director, all curriculum forms may be submitted to the appropriate curriculum committee and processed.
7. After final review and editing of the *Substantive Change Prospectus*, the SACSCOC Liaison will be responsible for mailing the required documentation, along with an introductory letter and Cover Sheet to the SACSCOC President.
8. Similar procedures will be followed for expanding program offerings at a current degree level if it is deemed as a significant departure from current programs.

**New Off-Campus Site**

1. A *Request for New Cohort Recruitment* form (**APPENDIX C**) or a *Request for New Off-Campus Site Recruitment* form (**APPENDIX D**) must be completed by the dean, program director, or administrator and submitted to the University SACSCOC Liaison prior to any enrollment of students at a potential site. A projected start date for the new off-campus site is part of the requested information.
2. After all signatures have been secured on the appropriate form, a collaborative determination committee will be composed of the SACSCOC Liaison, Coordinator of Institutional Effectiveness and Research, Dean, Provost, Vice President for Enrollment, and other identified administrators. Based on the program(s) to be offered, a determination will be made of whether the new site will require a full *Substantive Change Prospectus*, including all Common Content (SACSCOC Substantive Change Policy pages 57-60) and all Institution Level Review (extensive or limited, as required) and Site Review documentation required (SACSCOC Substantive Change Policy pages 73-74).
3. A *Substantive Change Prospectus* must be prepared by the sponsoring college or school for submission to SACSCOC six months ahead of implementation based on the following due dates:

<b>Prospectus Due to SACSCOC</b>	<b>For Implementation</b>
January 1	July 1 to December 31
July 1	January 1 to June 30

4. Once the date for submission to SACSCOC has been identified, the *Substantive Change Prospectus* will be due to the SACSCOC Liaison no later than one month prior to mailing to the SACSCOC office.
5. After final review and editing of the *Substantive Change Prospectus*, the SACSCOC Liaison will be responsible for mailing the required documentation, along with an introductory letter and Cover Sheet.

### **Other Substantive Changes**

DBU procedures for reporting other substantive changes shall be similar to those stated above. Other substantive changes may include:

- Acquisitions, Closures, Consolidations/Mergers, Relocations
- Assessment, Credit
- Certificates
- Contracts, Consortiums
- Dual Degrees/Joint Degrees (with other institutions)
- Governance
- Mission

A *Determination of Other Substantive Changes* form (**APPENDIX E**) should be filled out and submitted prior to implementation of any of the substantive changes listed in Appendix E.

## **APPENDIX A**

The complete SACSCOC Substantive Change Policy, accompanying interpretations, and training documents are available at the following link:

<https://sacscoc.org/accrediting-standards/substantive-changes/>.



**DETERMINATION OF SUBSTANTIVE CHANGE FOR A NEW ACADEMIC PROGRAM**

DATE: \_\_\_\_\_

COLLEGE/SCHOOL \_\_\_\_\_

UNDERGRADUATE:                       MASTER'S:                       DOCTORAL:

NEW DEGREE PROGRAM     NEW CERTIFICATE PROGRAM     OTHER

Name of Program or Certificate: \_\_\_\_\_

Will there be any existing courses that make up the new program? List Below:

Please provide the names of any existing program(s) in the same subject area at a lower level than the proposed program:

Is there a qualified full-time faculty member available to direct the new program?

If not, when do you anticipate availability?

Effective date of New Program or Certificate

Anticipated date of submission to Curriculum Committee:

DEAN \_\_\_\_\_

PROVOST \_\_\_\_\_

**SUBSEQUENT ACTION OF REVIEW COMMITTEE**

Will not require Substantive Change Prospectus:     Will Require Substantive Change Prospectus:

Date Substantive Change Prospectus due to SACSCOC:

January 1 (for 7/1-12/31 implementation):   
 July 1 (for 1/1-6/30 implementation):

Due to Office of Institutional Effectiveness for review: \_\_\_\_\_

SACSCOC Liaison \_\_\_\_\_ Date: \_\_\_\_\_



**DBU**

DALLAS BAPTIST UNIVERSITY

**REQUEST FOR NEW COHORT RECRUITMENT**

DATE: \_\_\_\_\_ PROGRAM(S): \_\_\_\_\_

LOCATION: \_\_\_\_\_

ADDRESS: \_\_\_\_\_

WILL 50% OR MORE OF THE PROGRAM(S) BE OFFERED AT THE ABOVE LOCATION? YES \_\_\_\_\_ NO \_\_\_\_\_

START DATE: \_\_\_\_\_ CONTACT: \_\_\_\_\_

ANTICIPATED ENROLLMENT: \_\_\_\_\_ DISTRICT FUNDING: \_\_\_\_\_

COMMENTS (Please be specific): \_\_\_\_\_

\_\_\_\_\_  
PROGRAM DIRECTOR

\_\_\_\_\_  
DATE

\_\_\_\_\_  
DEAN

\_\_\_\_\_  
DATE

\_\_\_\_\_  
INSTITUTIONAL EFFECTIVENESS OFFICE (CAROL REID)

\_\_\_\_\_  
DATE

\_\_\_\_\_  
REGISTRAR'S OFFICE (LINDA RONEY)

\_\_\_\_\_  
DATE

\_\_\_\_\_  
FINANCIAL AID OFFICE (SHERMAIN REED)

\_\_\_\_\_  
DATE

\_\_\_\_\_  
ASSIST. V.P. GRADUATE/CORP. AFFAIRS (RICHARD NASSAR)

\_\_\_\_\_  
DATE

\_\_\_\_\_  
PROVOST (NORMA HEDIN)

\_\_\_\_\_  
DATE

\_\_\_\_\_  
SACSCOC LIAISON (GAIL LINAM)

\_\_\_\_\_  
DATE



**DBU**

DALLAS BAPTIST UNIVERSITY

**REQUEST FOR NEW OFF-CAMPUS SITE RECRUITMENT**

NAME OF OFF-CAMPUS SITE: \_\_\_\_\_  
DATE: \_\_\_\_\_

ADDRESS: \_\_\_\_\_

WILL 50% OR MORE OF A PROGRAM BE OFFERED AT THE ABOVE LOCATION? YES \_\_\_\_\_ NO \_\_\_\_\_

IF YES, IDENTIFY THE PROGRAM OR PROGRAMS TO BE OFFERED: \_\_\_\_\_

START DATE: \_\_\_\_\_ CONTACT: \_\_\_\_\_

ANTICIPATED ENROLLMENT: \_\_\_\_\_ FUNDING (IF APPLICABLE): \_\_\_\_\_

IF LESS THAN 50% OF A PROGRAM WILL BE OFFERED, LIST COURSE(S) TO BE OFFERED AND ASSOCIATED PROGRAM(S): (Please be specific):

\_\_\_\_\_  
\_\_\_\_\_

PROGRAM DIRECTOR

DATE

DEAN

DATE

INSTITUTIONAL EFFECTIVENESS OFFICE (CAROL REID)

DATE

REGISTRAR'S OFFICE (LINDA RONEY)

DATE

FINANCIAL AID OFFICE (SHERMAIN REED)

DATE

ASSIST. V.P. GRADUATE/CORP. AFFAIRS (RICHARD NASSAR)

DATE

PROVOST (NORMA HEDIN)

DATE

SACSCOC LIAISON (GAIL LINAM)

DATE



# DBU

DALLAS BAPTIST UNIVERSITY

## REQUEST FOR NEW OFF-CAMPUS SITE RECRUITMENT FOR DUAL ENROLLMENT

NAME OF OFF-CAMPUS SITE: \_\_\_\_\_  
DATE: \_\_\_\_\_

ADDRESS: \_\_\_\_\_

WILL 50% OR MORE OF A PROGRAM BE OFFERED AT THE ABOVE LOCATION? YES \_\_\_\_\_ NO \_\_\_\_\_

IF YES, IDENTIFY THE PROGRAM OR PROGRAMS TO BE OFFERED: \_\_\_\_\_

START DATE: \_\_\_\_\_ DBU CONTACT: \_\_\_\_\_

ANTICIPATED ENROLLMENT: \_\_\_\_\_ FUNDING (IF APPLICABLE): \_\_\_\_\_

IF LESS THAN 50% OF A PROGRAM WILL BE OFFERED, LIST COURSE(S) TO BE OFFERED AND ASSOCIATED PROGRAM(S): (Please be specific):

\_\_\_\_\_  
\_\_\_\_\_

\_\_\_\_\_  
ASSIST. V.P. UNDERGRADUATE ENROLLMENT (JOHN BORUM) DATE \_\_\_\_\_

\_\_\_\_\_  
V.P. ADMINISTRATION AND ENROLLMENT (JONATHAN TEAT) DATE \_\_\_\_\_

\_\_\_\_\_  
DEAN(S) DATE \_\_\_\_\_

\_\_\_\_\_  
INSTITUTIONAL EFFECTIVENESS OFFICE (REBECCA DARK/CAROL REID) DATE \_\_\_\_\_

\_\_\_\_\_  
ASSOCIATE PROVOST (DEEMIE NAUGLE) DATE \_\_\_\_\_

\_\_\_\_\_  
REGISTRAR'S OFFICE (LINDA RONEY) DATE \_\_\_\_\_

\_\_\_\_\_  
FINANCIAL AID OFFICE (SHERMAIN REED) DATE \_\_\_\_\_

\_\_\_\_\_  
PROVOST (NORMA HEDIN) DATE \_\_\_\_\_

\_\_\_\_\_  
SACSCOC LIAISON (GAIL LINAM) DATE \_\_\_\_\_



# DBU

DALLAS BAPTIST UNIVERSITY

## DETERMINATION OF OTHER SUBSTANTIVE CHANGES

Check the following that apply:

<b>Acquisitions, Closures, Consolidations/Mergers, Relocations:</b>	
<input type="checkbox"/>	Initiating a merger/consolidation with another institution
<input type="checkbox"/>	Acquiring any program or site from another institution
<input type="checkbox"/>	Adding a permanent location at a site where the institution is conducting a teach-out for students from another institution that has ceased operating before all students have completed their program of study.
<input type="checkbox"/>	Moving an off-campus instructional site (serving the same geographic location), including a branch campus.
<input type="checkbox"/>	Closing a program, approved off-campus site, method of delivery, branch campus, or institution where the institution plans to teach out its own students
<input type="checkbox"/>	Closing a program, approved off-campus site, method of delivery, branch campus, or institution where the institution plans contracts with another institution(s) to teach-out students (Teach-Out Agreement)
<input type="checkbox"/>	Re-opening a previously closed program or off-campus instructional site
<b>Assessment, Credit:</b>	
<input type="checkbox"/>	Initiating a direct assessment competency-based program
<input type="checkbox"/>	Changing to or from clock hours to credit hours
<input type="checkbox"/>	Changing to or from semesters to trimesters, or quarters
<input type="checkbox"/>	Changing between time-based and non-time-based methods
<input type="checkbox"/>	Substantially increasing or decreasing the number of credit hours or clock hours awarded or competencies demonstrated, or an increase in the level of credential awarded, for successful completion of one or more programs
<input type="checkbox"/>	Adding competency-based education programs
<input type="checkbox"/>	Adding each competency-based education program by direct assessment
<input type="checkbox"/>	Adding programs with completion pathways that recognize and accommodate a student's prior or existing knowledge or competency
<b>Method of Delivery</b>	
<input type="checkbox"/>	Adding an additional method of delivery to a currently offered program.
<b>Certificates:</b>	
<input type="checkbox"/>	Initiating a certificate program at a new off-campus site at employer's request and on short notice (previously approved program.)
<input type="checkbox"/>	Initiating a certificate program that is a significant departure from previously approved programs at employer's request and on short notice
<b>Contracts, Consortiums:</b>	
<input type="checkbox"/>	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 SACSCOC accredited institution
<input type="checkbox"/>	Entering into a contract with an entity not certified to participate in USDOE Title IV programs if the entity provides 24% or LESS of an educational program offered by the SACSCOC accredited institution <b>Prior notification only</b>
<input type="checkbox"/>	Adding a site under a U.S. military contract for a previously approved program
<input type="checkbox"/>	Initiating programs or courses offered through contractual agreement or consortium
<input type="checkbox"/>	Entering into a cooperative academic arrangement
<b>Dual Degrees/Joint Degrees:</b>	
<input type="checkbox"/>	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
<input type="checkbox"/>	Initiating dual or joint degree with at least one institution not accredited by SACSCOC
<input type="checkbox"/>	Initiating dual or joint degrees with other SACSCOC accredited institution(s)
<b>Governance:</b>	
<input type="checkbox"/>	Changing governance, ownership, control, or legal status of an institution
<b>Mission:</b>	
<input type="checkbox"/>	Substantially changing the established mission or objectives of an institution or its programs.

*If this change involves another institution, please identify:*

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**Detailed Description of Proposed Change:**

Start Date: \_\_\_\_\_ Contact: \_\_\_\_\_

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**INSTITUTIONAL EFFECTIVENESS (REBECCA DARK)**

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**DATE**

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**VICE PRESIDENT FOR ENROLLMENT (JONATHAN TEAT)**

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**DATE**

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**PROVOST (NORMA HEDIN)**

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**DATE**

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**SACSCOC LIAISON (GAIL LINAM)**

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**DATE**