

**Policy Management Office**

Office of Administration and Finance



University of  
Houston Clear Lake

**ACADEMIC AFFAIRS SHARED GOVERNANCE APPROVALS**

**POLICY NAME:** Substantive Change

**POLICY CODE:**

**POLICY ACTION:** Revise

**LEGAL APPROVAL REQUIRED**  Yes  No

**POLICY SPONSOR:** Academic Affairs

**RESPONSIBLE PARTY(IES):** Academic Affairs

NAME		PURPOSE	ACTION	SIGNATURE	
DATE RECEIVED			APPROVED <input type="checkbox"/>	FORWARD TO	
DATE ACTION TAKEN			NOT APPROVED <input type="checkbox"/>	DATE	

SENATE COMMITTEE					
Governance Committee					
NAME		PURPOSE	ACTION	SIGNATURE	
Elizabeth Beavers		Review recommended revisions	APPROVED <input checked="" type="checkbox"/>	<i>Elizabeth Beavers</i>	
DATE RECEIVED	8/25/21		NOT APPROVED <input type="checkbox"/>	FORWARD TO	DATE
DATE ACTION TAKEN	9/27/21		Faculty Senate		9/27/21
FACULTY SENATE					
NAME		PURPOSE	ACTION	SIGNATURE	
Paul Withey		Review Recommendations	APPROVED <input checked="" type="checkbox"/>	<i>Paul Withey</i>	
DATE RECEIVED	9/27/21		NOT APPROVED <input type="checkbox"/>	FORWARD TO	DATE
DATE ACTION TAKEN	10/6/21		Provost		10/6/21

ACADEMIC COUNCIL					
NAME		PURPOSE	ACTION	SIGNATURE	
Christopher Maynard, Interim Provost		Review and Approve	APPROVED <input checked="" type="checkbox"/>	<i>[Signature]</i>	
DATE RECEIVED	10/6/21		NOT APPROVED <input type="checkbox"/>	FORWARD TO	DATE
DATE ACTION TAKEN	10/21/21		University Council		10/23/21

UNIVERSITY COUNCIL					
NAME		PURPOSE	ACTION	SIGNATURE	
Richard Walker, Interim President		Review and Approve	APPROVED <input checked="" type="checkbox"/>	<i>[Signature]</i>	
DATE RECEIVED	10/23/21		NOT APPROVED <input type="checkbox"/>	FORWARD TO	DATE
DATE ACTION TAKEN	11/11/21				

LEGAL OFFICE (if Legal Review Is needed)					
NAME		ACTION		SIGNATURE	
		APPROVED <input type="checkbox"/>	NOT APPROVED <input type="checkbox"/>		
DATE RECEIVED		FORWARD TO		DATE	
DATE ACTION TAKEN					

**MAPP Formatting Required:** Yes  No

1. Any Approving Office indicating NON-Approval is required to complete FORM PD-FORM77-REJECTED.

THIS COVER SHEET MUST ACCOMPANY EVERY ITEM OF BUSINESS SENT OUT FROM FACULTY SENATE COMMITTEE AND ACADEMIC AFFAIRS.

**University of Houston-Clear Lake  
Policies and Procedures for Reporting and Monitoring Substantive Change**

**1. Policy**

The policy of the University of Houston-Clear Lake (UH-Clear Lake) is to follow the substantive change procedures of the Commission on Colleges of the Southern Association of Colleges and Schools-Commission on Colleges (SACSCOC) and to inform SACSCOC of any changes in its programs and activities in accordance with those procedures.

This document establishes guidelines to ensure that UH-Clear Lake remains in compliance with these requirements. Failure to adhere to the Substantive Change policy may result in UHCL losing Title IV funding or being required to return money received for programs related to the unreported substantive change.

**2. Procedure**

Substantive change requires one of the three following procedures:

- Procedure One for the Review of Substantive Changes **Requiring Approval Prior to Implementation** (Notification may also be required).
- Procedure Two for the Review of Substantive Changes **Requiring Only Notification Prior to Implementation** (Some changes also require submission of additional documents).
- Procedure Three for the Review of Substantive Changes **Requiring Only**

**Notification + Approval.** Please see [Substantive Change for SACSCOC Accredited Institutions for the requirements regarding the procedures for other types of changes.](#)

A matrix is provided at the link above that is useful, but cannot be the sole determinate of the procedure to use. To better understand procedures, substantive changes may be more interpretable and applicable when categorized by organization level. The lists below are not exhaustive but provide a framework for making decisions. Decisions regarding changes made at any of these institutional levels require all other levels be informed and consulted on such substantive changes.

**Program/Course level changes** would include the following, however, this list is not all inclusive:

1. Expanding a current Degree Level (A significant departure from current programs)
2. Adding courses or programs that would represent a significant departure, either in content or method of delivery from those currently offered
3. Initiating certificate programs or courses offered through a contractual agreement or consortium
4. Changing significantly the length of a program

5. Initiating degree completion programs
6. Initiating programs at the associate degree level
7. Closing a program/off-campus site. Teach Out plans are required prior to closing.

**Department or College** changes would include the following, however, this list is not all inclusive:

1. Initiating an off-campus site
2. Initiating distance learning
3. Adding significant changes in existing technology-based delivery systems in distance learning

**Institutional** changes would include the following; however, this list is not all inclusive:

1. Initiating/closing an off-campus site. Teach-out plans are required prior to closing.
2. Initiating distance learning at another off-campus site
3. Adding significant changes in existing technology-based delivery systems in distance learning.
4. Expanding at the institution's current degree level
5. Changing significantly the educational mission of the institution

### **3. Reporting and Monitoring Process**

#### **Substantive Changes In Curriculum**

To ensure that all curriculum changes which may require substantive change are identified in a timely fashion, the Provost or the SACSCOC liaison will review every curriculum change before it is submitted to Faculty Senate for approval. If a substantive change prospectus or letter must be prepared, the Provost or SACSCOC liaison will work with the faculty to prepare the documents. This may happen concurrently with the Faculty Senate's curriculum approval process.

Every new academic program, including concentrations and minors which share a CIP with existing programs, will be recorded in the Office of the Vice President, along with the status (date letter/prospectus sent; date approval/acknowledgement received; or date of decision to submit neither).

#### **Substantive Changes for Instructional Sites and Consortia Agreements**

To ensure that prospectuses related to opening and closing sites are submitted in a timely fashion, the Provost or SACSCOC liaison will submit a prospectus as soon as the decision is made. To ensure that consortia relationships which may require substantive change are identified in a timely fashion, the Provost and/or SACSCOC liaison will begin drafting a prospectus as soon as the contract is drafted, before the final agreement is signed.

### **Distance Education Activities**

The Office of the Associate Vice President for Academic Affairs will maintain an audit cycle of distance education activities.

1. On May 1, September 1, and December 1, the Office of the Associate Vice President for Academic Affairs will issue emails reminding each college of the notification procedure and provide the deadline by which all notifications are due in the office.
  2. Each college is to notify the AVPAA for all anticipated distance education activity, whether online or off-campus, for the semester.
  3. Forms require the signature of the program/division chair and the associate dean.
  4. By May 15, September 15, and December 15, the college must forward one program per form and indicate when the college anticipates reaching the 25% mark and the 50% mark for face-to-face off-campus programs and first-time offered online programs.
  5. For off-campus programs, the Registrar's Office will issue location codes to schedule classes after approved Academic Table Update Notices are received from the Office of the AVPAA.
  6. If a college does not anticipate initiating new distance education activity, the college will notify the Office of the AVPAA in writing by indicating no changes to distance education activity on the audit form.
  7. On receipt of the forms, the Office of the AVPAA will notify/seek approval for substantive changes from SACSCOC. The Office of the AVPAA will confirm due dates for submission of program prospectus to the AVPAA via email to the deans.
  8. All substantive change prospectuses are due in the Office of the AVPAA no later than six months prior to the anticipated date in which the program anticipates offering 50% of its SCHs off-campus.
  9. These notification procedures are to be followed at any time during the academic year that a decision is made to expand off-campus offerings.
- 4. Changes Determined Not to Be Substantive**  
Should the Accreditation Liaison, after careful consideration of the SACSCOC substantive change requirements with the consultation of others, determine a change not to be substantive, the Accreditation Liaison will document the thought process and reasons for such determination and store this information on the SACSCOC shared drive.
- 5. Review and Responsibilities for Substantive Change Process**  
Responsible Party: Associate Vice President for Academic Affairs/SACSCOC Liaison  
Review: Every three years on or before June 1

**6. Approval**

<b>Constituency</b>	<b>Approval Date</b>
Faculty Senate	11/4/20
Academic Council	11/24/20
University Council	1/23/2021

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- Procedure Three for ~~Closing a Program, Site, Branch Campus or Institution~~[the Review of Substantive Changes Requiring Only Notification + Approval](#). Please see [Substantive Change for SACSCOC Accredited Institutions for the procedures regarding requirements regarding the procedures for other types of changes](#).

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