GK (REGULATION)

PURPOSE

The purpose of this regulation is to outline the procedures to be followed to monitor, collect, and share information regarding any College District substantive change to ensure timely reporting of any such change to the Southern Association of Colleges and Schools Commission on Colleges (SACSCOC).

APPLICABILITY

This regulation applies to all College District employees and departments.

DEFINITIONS

Directly Responsible Individuals (DRIs): For the purposes of this regulation, DRIs are particular College District administrators, at the level of Vice Chancellor (or the administrative equivalent) or above, who are charged with ensuring that SACSCOC's Policy on Substantive Change

(http://www.sacscoc.org/pdf/081705/SubstantiveChange.pdf) and the College District's relevant policies and procedures are followed. Under this regulation, DRIs are also responsible for reviewing and approving substantive change proposals prior to submission to SACSCOC.

Substantive change: As used in this regulation, "substantive change" is a significant modification or expansion of the nature and scope of an accredited institution. For more detail and relevant examples, please see GK (LOCAL).

Significant departure: As used in this regulation, "significant departure," with respect to an academic program, is present when the new program in question is not closely related to previously-approved programs at the institution or site or for the mode of delivery in question.

The following questions serve as guidance to determine whether a new program represents a "significant departure":

- What previously approved programs does the institution offer that are closely related to the new program and how are they related?
- Will significant additional equipment or facilities be needed?
- Will significant additional financial resources be needed?

ROLES AND RESPONSIBILITIES

Vice Chancellor of Planning and Institutional Effectiveness (VCPIE):

The VCPIE serves as the SACSCOC Accreditation Liaison (Liaison) and is responsible for ensuring the College District's compliance with all SACSCOC policies. As the Liaison, the VCPIE and the Director of Accreditation Compliance are responsible for notifying SACSCOC of any and all substantive changes in a timely manner. The VCPIE delegates the day-to-day administrative work

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of SACSCOC compliance to the Director of Accreditation Compliance.

Director of Accreditation Compliance (Director):

The Director is responsible for keeping College District employees informed of substantive change requirements and working closely with relevant personnel to assist the VCPIE in monitoring potential instances of substantive change.

As such, the Director is responsible for e-mailing the College Presidents and Deans monthly about plans/ information regarding any off-campus sites or new instructional programs and preparing relevant reports that involve any policy changes, new off-campus sites, and enrollment patterns

The Director is also responsible for maintaining the *Accreditation Compliance* website http://www.hccs.edu/district/about-us/accreditation/ designed to keep the community informed of reported changes and developments related to substantive change. The Director also prepares documentation required for timely and complete notification of substantive changes to SACSCOC.

College Presidents (Presidents):

Presidents provide oversight for off-campus course offerings by all divisions at their respective College and ensure that that deans and employees at their Colleges with responsibilities under this regulation are aware of and complying with relevant substantive change reporting requirements.

Deans:

Deans serve as the substantive change contact for their instructional areas. In compliance with substantive change policy and procedure, Deans are responsible for keeping the Director informed of off-campus course offerings planned for future terms using the Substantive Change Submission/Approval Form ("Form") [See EXHIBIT].

Vice Chancellors and Administrative Equivalents:

These individuals work closely with the Director and the VCPIE to ensure compliance with the College District's substantive change obligations as they pertain to their respective areas of responsibility.

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Instructional Associate Vice Chancellors (IAVCs):

IAVCs are responsible for reporting all new and discontinued programs to the responsible President, Vice Chancellor, and Director using the Form.

Associate Vice Chancellor (AVC) of Curriculum:

The AVC of Curriculum oversees curriculum development and program closures for the College District and ensures that all curriculum changes and program closures are reported to the Vice Chancellor for Instructional Services and Chief Academic Officer (VCIS/CAO) and the Director using the Form.

Associate Vice Chancellor (AVC) for Communications and Marketing:

The AVC for Communications and Marketing ensures all substantive changes are communicated to internal and external stakeholders as appropriate.

College Operation Officers:

The College Operation Officers are responsible for providing their respective Presidents and the Director with any MOUs and leasing contracts associated with off-campus sites.

MANDATORY TRAINING All individuals who fill roles named in the previous "ROLES AND RESPONSIBILITIES" section of this regulation, and those who function as DRIs under this regulation, shall attend in-person training annually regarding compliance with this regulation and SACSCOC's Policy on Substantive Change.

Any verification and/or testing components of the training shall be strictly implemented and enforced. Compliance with this and other mandatory training initiatives are conditions of continued employment for contracted and at-will employees. Consequences of noncompliance, up to and including termination, are further addressed in DKA (REGULATION).

PROCEDURES

Different types of substantive change require distinct approval/notification requirements, procedures, reporting timelines, and in some cases, approval, prior to implementation.

All individuals responsible for reporting potential substantive changes to the Director shall do so using the Form and observe the appropriate procedures set forth for each type of substantive change in the following tables.

No substantive change requiring SACSCOC approval or advance notification may be implemented until a letter of approval or an acceptance of notification is received from SACSCOC.

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New Degree or Certificate Program: Upon receipt of a Form regarding a new degree or certificate program, the Director and VCPIE shall determine whether proposed changed represents a significant departure.

If so, the Form shall be forwarded to the appropriate party for approval. If duly approved by all requisite DRIs, the AVC of Curriculum and the Director will prepare the relevant prospectus and send it with accompanying documentation to SACSCOC after review/ approval by the Liaison.

If the new program is not a significant departure, the Director will prepare a notification letter to be sent to SACSCOC after review/approval by the Liaison. Due consideration shall be given to SACSCOC deadlines for notification and planned implementation dates.

Once SACSCOC approval is received, the Director will notify the AVC of Curriculum and update the *Accreditation Compliance* website. The AVC of Curriculum will update the College District webpage and academic catalog and notify the Executive Director of Financial Aid, as well as other key or impacted constituents.

The following table sets forth the reporting, procedural, notification, and approval requirements associated with **New Degree or Certificate Programs**:

Type of Change	Contact SACSCOC	Is prior approval from SACSCOC required before	Directly Responsibl e Individual	Documentation
	CACCCC	implementation Other Approvals		
Initiating a new degree/certificate	After THECB approval	No, but SACSCOC	VCIS/CAO	Notification Letter or e-mail
using existing approved courses	аррточаг	acknowledgement is needed if students placed in the program are to be eligible for federal financial aid.	THECB* DOE**	Letter of e-mail

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Initiating a new degree/certificate that is a significant departure from current programs	By Jan. 1 for 7/1-12/31 implementation; By July 1 for 1/1-6/30 implementation	Yes	VCIS/CAO BOT*** THECB DOE	Prospectus
Initiating a direct assessment	•	Yes	VCIS/CAO	Letter of notification,
competency- based program	planned for 1/1-6/30; by September 1 for implementation planned for 7/1- 12/31 in the subsequent year		THECB	screening form and possible prospectus
Initiating a certificate	At the discretion of SACSCOC	Yes	VCIS/CAO	Modified
program that is a significant departure from previously approved programs at employer's request and on short notice	staff		BOT THECB DOE	prospectus
Altering significantly the	At the discretion of SACSCOC	Yes	VCIS/CAO	Modified prospectus
length of a program	staff		THECB DOE	proopoolus
Initiating degree	By Jan. 1 for 7/1-12/31	Yes	VCIS/CAO	Prospectus
programs	ompletion 7/1-12/31 implementation; By July 1 for 1/1-6/30 implementation		BOT THECB DOE	

^{*}THECB: The Texas Higher Education Coordinating Board

Discontinued Degree or Certificate Program: Upon submission of a Form regarding a discontinued degree or certificate program, the AVC of Curriculum shall collaborate with the relevant Dean(s)

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^{**}DOE: United States Department of Education

^{***}BOT: The College District's Board of Trustees

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to prepare appropriate documentation, as indicated on the Form, including teach-out plan(s) where necessary.

Thereafter, the Form, along with relevant documentation, shall be distributed to the requisite DRIs for approval. Once all approval signatures have been obtained, the Director shall prepare a letter of notification for submission to SACSCOC after review/approval by the Liaison.

Once SACSCOC approval is received, the Director will notify the AVC of Curriculum and update the *Accreditation Compliance* website. The AVC of Curriculum will update the College District webpage and academic catalog and notify the Financial Aid office, as well as other key or impacted constituents.

The following table sets forth the reporting, procedural, notification, and approval requirements associated with **Discontinued Degree or Certificate Programs**:

Type of Change	Contact SACSCOC	Is prior approval from SACSCOC	Directly Responsible Individual	Documentation
	SACGCCC	required before implementation	Other Approvals	
Closing a program (internal	Immediately following	Yes	VCIS/CAO	Description of teach-out plan
teach-out plan)	the decision to close the program		THECB DOE	and letter of notification

Offering Credit at a New Level: The Associate Degree is the highest degree the College District is accredited to award. Awarding a degree at a higher level requires the approval of the Texas State Legislature and the THECB.

Upon review of a Form proposing the College District offer credit at a new level; if permitted, the VCIS/CAO and the Director shall draft an application for level change. After review by the Liaison, the application shall be submitted to SACSCOC in accordance with curricular guidelines only after all requisite DRI approvals have been obtained.

Once SACSCOC approval is received, the Director will notify the AVC of Curriculum and update the *Accreditation Compliance* website. The AVC of Curriculum will update the College District

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webpage and academic catalog and notify the Financial Aid office, as well as other key or impacted constituents.

The following table sets forth the reporting, procedural, notification, and approval requirements associated with **Offering Credit at a New Level**:

Type of Change	Contact	SACSCOC SACSCOC	Documentation	
Change	3403000	required before implementation	Other Approvals	
Initiating coursework	By March 15	Yes	VCIS/CAO	Application for level change
or programs at a different level than currently approved	implementation planned for 1/1-6/30; by September 1 for implementation planned for 7/1-12/31 in the subsequent year		BOT THECB DOE	level change

New Off-Campus Sites: When any College District department anticipates offering credit courses comprising more than 50% of any previously approved program at any new location, the Dean, or the AVC of College Readiness that maintains the College District's relationship with the local ISDs, shall notify the AVC of Curriculum and submit a Form to the Director at least six (6) months prior to the implementation date for an identification of reporting, procedural, notification, and approval requirements.

New off-campus sites at which a student earns less than 50% of his/her credits toward a program, however, also trigger notification requirements prior to implementation if the student is able earn at least 25% of those credits at the off-campus site. As such, the relevant Dean(s) and AVCs/IAVCs are required to closely monitor the potential impact of new/proposed off-campus sites.

Once all requisite DRI approvals have been obtained, and in accordance with institutional curricular guidelines, the Director and relevant Dean and/or the AVC of College Readiness shall prepare a prospectus for submission to SACSCOC after Liaison approval. Once SACSCOC approval is received, the Director will notify the relevant Dean and the AVC of Curriculum and update the

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Accreditation Compliance website. The AVC of Curriculum will update the College District webpage and academic catalog and notify the Financial Aid office, as well as other key or impacted constituents.

In addition, the Deans' Council shall meet biannually to review all anticipated new off-campus sites and additional course offerings at non-approved sites to prepare for like substantive changes.

The following table sets forth the reporting, procedural, notification, and approval requirements associated with **New Off-Campus Sites**:

Type of Change	Contact SACSCOC	Is prior approval from SACSCOC required before implementation	Directly Responsible Individual Other Approvals	Documentation
Initiating off-	By Jan. 1 for	Yes	VCIS/CAO	Prospectus
campus sites where students can obtain 50% or more credits toward any program	7/1-12/31 implementation; By July 1 for 1/1-6/30 implementation		DOE	
Initiating off- campus sites	Prior to implementation	No	VCIS/CAO	Notification Letter
where students can obtain 25-49% credits toward any program	implementation		N/A	
Initiating off-	N/A	No	VCIS/CAO	N/A
campus sites where students can obtain less than 24% of credits toward any program			N/A	

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Offering previously approved program at previously approved off-campus sites	N/A	N/A	VCIS/CAO N/A	N/A
Initiating a certificate	At the discretion of	Yes	VCIS/CAO	Modified prospectus
program at a new off-campus site at employer's request and on short notice (previously approved program)	SACSCOC staff		N/A	prospectus
Adding a site At the under a U.S.	At the discretion of the	Yes	VCIS/CAO	Modified prospectus
military contract for a previously approved program	SACSCOC staff		N/A	prospectus

Moving an Instructional Site: After receiving the Form to move an off-campus site, the Director determines if the move is within the current service area or to a new service area. This distinction serves to inform the VCPIE or Director with respect to the reporting, procedural, notification, and approval requirements to be assigned on the Form.

In addition, if the stated purpose of the move is to attract a wider or different student base to the site, the move is considered to be to a new service area. For these moves, after all requisite DRI approval is obtained, the Director works with the Chief Facilities Officer (CFO) and President to prepare a prospectus and gather the appropriate documentation for submission to SACSCOC after review by the Liaison.

Once SACSCOC approval is received, the Director shall notify the AVC of Communications and Marketing of the new address so that appropriate communication throughout the institution, including, but not limited to, updating the website, occurs. The Director will notify the President, CFO, and VCIS/CAO of any final changes. For a site that is not being moved to a new service area, after all requisite DRI approval is obtained, the Director prepares a letter of

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notification for submission to SACSCOC after review by the Liaison. Once SACSCOC acknowledgement is received, the Director shall notify the AVC of Communications and Marketing of the new address so that appropriate communication throughout the institution, including, but not limited to, updating the website, occurs.

The following table sets forth the reporting, procedural, notification, and approval requirements associated with **Moving an Instructional Site**:

Type of Change	Contact SACSCOC	Is prior approval from SACSCOC required before implementation	Directly Responsible Individual	Documentation
			Other Approvals	
Moving an off- campus site (within the	Prior to implementation	No (prior notification is	VCIS/CAO with VCPIE	Notification letter
same campus service area)		required)	ВОТ	
Moving an off- campus site to a new service	By Jan. 1 for 7/1-12/31	Yes	VCIS/CAO with VCPIE	Prospectus
area	implementation; By July 1 for 1/1-6/30 implementation		BOT THECB	

Branch Campuses: Should the College District pursue the establishment of a new branch campus, a Form must be submitted so that the Director/VCPIE may articulate the applicable requirements.

Once all requisite DRI approval has been obtained, the Director, Liaison, and potentially other key stakeholders, shall prepare the prospectus and associated documentation. The Liaison will forward the documentation to the Chancellor's Office for signature and submission to SACSCOC.

Once SACSCOC approval is received, the Director shall notify the AVC of Communications and Marketing so that appropriate communication throughout the institution, including, but not limited to, updating the website, occurs.

The following table sets forth the reporting, procedural, notification, and approval requirements associated with establishing **Branch Campuses**:

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Type of Change	Contact SACSCOC	Is prior approval from SACSCOC	Directly Responsible Individual	Documentation
Onlinge	GAGGGG	required before implementation	Other Approvals	
Relocating a	By Jan. 1 for 7/1-12/31	Yes	VCPIE	Prospectus
campus	implementation; By July 1 for 1/1-6/30 implementation		ВОТ	
Initiating a branch	By Jan. 1 for 7/1-12/31	Yes	VCPIE	Prospectus
campus	implementation; By July 1 for 1/1-6/30 implementation		ВОТ	

Discontinuing Use of a Branch Campus or Instructional Site:

When discontinuing a leasing agreement because the College District no longer needs to utilize a branch campus or instructional site location, a Form should be submitted to ensure proper procedural, approval, and other relevant requirements are met.

Once all requisite DRI approval is obtained, and the CFO has notified the Director of the leasing agreement, the Director shall immediately prepare a letter of notification for submission to SACSCOC after review by the Liaison.

If the intention is to discontinue offering dual credit classes at a previously approved high school, the AVC of College Readiness shall initiate the change with the Form.

Once SACSCOC approval is received, the Director shall notify the AVC of Communications and Marketing to update the College District webpage in the case of a leased site and notify the appropriate constituents. In the case of a dual-credit site, the Director shall notify the AVC of College Readiness that approval has been received to discontinue teaching at a dual credit site.

The following table sets forth the reporting, procedural, notification, and approval requirements associated with **Discontinuing Use of a Branch Campus or Instructional Site**:

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Type of Change	Contact	Is prior approval from SACSCOC	roval from Responsible	Documentation
	SACSCOC		Other Approvals	
Closing an approved site	Immediately	Yes	VCPIE	Description of
(internal teach- out plan)	following the decision to close the site		вот	teach-out plan and letter of notification
Closing an off-	Immediately	, i	VCPIE	Description of teach-out plan
campus site or branch campus, where HCCS plans to teach out its own students	following the decision to close the program		вот	and letter of notification

Contractual Agreements and Consortiums: The following table sets forth the reporting, procedural, notification, and approval requirements associated with **Contractual Agreements and Consortiums**:

Type of Change	Contact SACSCOC	Is prior approval from SACSCOC required before implementation	Directly Responsible Individual Other Approvals	Documentation
Initiating programs or courses offered through contractual agreement or consortium	Prior to Implementation	No (prior notification is required)	VCIS/CAO N/A	Letter of Notification and copy of signed MOU

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Initiating a merger or consolidation with another institution	By 12/15 for 7/1-12/31 implementation; By 6/1 for 1/1 – 6/31 implementation	Yes	VCPIE BOT THECB	Institutional Summary, Prospectus
Acquiring any program or site from another institution	By 12/15 for 7/1-12/31 implementation; By 6/1 for 1/1 – 6/31 implementation	Yes	VCPIE	Institutional Summary, Prospectus
Adding a	By 12/15 for	Yes	VCPIE	Institutional
permanent location at a site where the institution is conducting a teach-out for students form another institution that is closing	7/1-12/31 implementation; By 6/1 for 1/1 – 6/31 implementation		ВОТ	Summary, Prospectus
Entering into a contract with	By Jan. 1 for 7/1-12/31	Yes	VCPIE	Prospectus
an entity not certified to participate in USDOE Title IV Programs if the entity provides 25% or more of an educational program offered by HCCS	implementation; By July 1 for 1/1-6/30 implementation		DOE	

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	Prior to implementation	No (prior	VCPIE	Letter of
contract with an entity not certified to participate in USDOE Title IV Programs if the entity provides less than 25% of an educational program offered by HCCS	olementation	notification is required)	DOE	Notification and Copy of signed MOU

Change in Governance or Mission: Any proposed change in the College District's governance or mission requires the Chancellor's approval prior to submission to SACSCOC.

The following table sets forth the reporting, procedural, notification, and approval requirements associated with a **Change in Governance or Mission**:

Type of Change	Contact SACSCOC	Is prior approval from SACSCOC required before implementation	Directly Responsible Individual	Documentation	
			Other Approvals		
Changing	By 12/15 for 7/1-12/31 implementation; By 6/1 for 1/1 – 6/31 implementation	Yes	VCPIE	Institutional Summary, Prospectus	
governance, ownership, control, or legal status of an institution			BOT THECB		
Altering significantly the	At the discretion of the SACSCOC staff	Yes	VCPIE	Prospectus	
educational mission of the institution			BOT THECB		

Other Collaborative Programs: After obtaining all of the appropriate signatures on the Form and, in coordination with the Liaison and other key stakeholders, the Director shall prepare the prospectus or other appropriate documentation when a prospectus is not required. If the implementation involves an Early College High School, the AVC of College Readiness shall assist in the

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creation of the prospectus and gathering the required documentation. After his/her review, the Liaison shall obtain the Chancellor's signature and then submit the documentation to SACSCOC.

After SACSCOC approval is received, the Director shall notify the appropriate constituents, including the AVC of Communications and Marketing to update the College District webpage.

The following table sets forth the reporting, procedural, notification, and approval requirements associated with **Other Collaborative Programs**:

Type of Change	Contact SACSCOC	Is prior approval from SACSCOC required before implementation	Directly Responsible Individual Other Approvals	Documentation
Initiating a joint or dual degree with another SACSCOC institution	Prior to implementation	No (prior notification is required)	VCPIE THECB DOE	Copy of signed MOU and contact information for each institution
Initiating a joint or dual degree with at least one institution not accredited by SACSCOC	At least 6 months prior to implementation	Yes	VCPIE THECB DOE	Copy of signed MOU and contact information for each institution
Initiating a joint or dual degree involving program expansion (significant departure) or initiating a new site where a student can obtain 50% or more credits toward a program.	By Jan. 1 for 7/1-12/31 implementation; By July 1 for 1/1-6/30 implementation	Yes	VCPIE THECB	Prospectus, copy of the signed agreement, and details according to SACSCOC policy

OFFICE OF RESPONSIBILITY

The Office of Planning and Institutional Effectiveness.

GK (REGULATION) EXHIBIT

Substantive Change Submission/Approval Form

To maintain accreditation with the Southern Association of Colleges and Schools Commission on College (SACSCOC), HCC must notify SACSCOC of any potential or actual substantive changes in programs, facilities, centers, or program delivery in a timely fashion, and in many cases, must obtain prior approval from SACSCOC prior to the implementation of such a change.

When reporting a proposed substantive change [as defined in GK (LOCAL)], please complete the below information and assessment (if applicable) and forward the form to the Director of Accreditation Compliance or the Vice Chancellor for Planning and Institutional Effectiveness for an identification of reporting, procedural, notification, and approval requirements on page 2.

Initiator's Name: _____ Date: _____

Program Name:		
Program Type:		
Brief Description of the Proposed Change:		
Substantive Change Assessment		
Does this initiative:		
Initiate new degree/certificate (significant departure from current programs)?	yes _	no
Initiate a direct assessment competency-based program?	yes _	no
Alter significantly the length of a program?	yes _	no
Close a program or award?	yes _	no
nitiate course work or program at a different level than currently approved	yes _	no
Initiate a branch campus?	yes _	no
Initiate a new instructional site?	yes _	no
Move an instructional site?	yes _	no
Initiate a branch campus?	yes _	no
Close an instructional site?	yes _	no
Initiate a merger/consolidation?	yes _	no
Initiate programs/courses offered through contractual agreement or consortium?	yes _	no

Houston Community College 101506

RELATIONS WITH EDUCATIONAL ACCREDITATION AGENCIES SUBSTANTIVE CHANGE

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Change gov	vernance, ownership, control or legal status of HCC?		yes	no		
Initiate a joi	int or dual degree program with another institution?		yes _	no		
Accreditati Does this ir requiremen	pleted by the Vice Chancellor for Planning and Institutional Effection Compliance only: Initiative reflect a substantive change?yesno. If "yes" design of the Directly Responsible Individuations, if any, below.	ignate the re	eporting			
Reviewed a	and Approved by:	Date:				
the VCPIE. Each Direct policies and the SACSC followed; (ii	and/or dates required for this proposed substantive change shall be tly Responsible Individual (DRI) listed below indicates with his/her sign procedures pertaining to the attached substantive change proposal COC Policy on Substantive Change and HCC's Substantive Change proposal; he/she approves the attached substantive change proposal; and (ii) ted his/her approval and support for the change to all direct reports to	indicated wit gnature that including, be protocol [See i) he/she has	th an "X" be (i) all releva ut not limite GK] have s effectively	ant ed to, been		
For VCPIE use only			F			
	Vice Chancellor, Planning and Institutional Effectiveness and SACSCOC Accreditation Liaison	_ Date	_//_			
	Vice Chancellor, Instructional Services & Chief Academic Officer	_ Date	_//_			
	Vice Chancellor, Student Services	_ Date	_//_			

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			Date	/	/	_
	President of Co	llege				
	Senior Vice Chancellor, Finance & Administration		Date	/	/	
	Chief Facilities Officer		Date	/	/	_
	Date of Board approval, if applicable://					
Requ	uired:					
	Date of Executive Cabinet approval://					
	Date of Chancellor notification / approval://					
	Date of Submission to SACSCOC by the Accreditation Liais	son:	/	/		