5th Year Compliance Certification Audit Form

STANDARD	TOPIC	REQUIRED DOCUMENTATION	NOTES	RESPONSIBLE
Section 5: Administration and Organization				VP Randall Dawson Marsha Hall
5.4	Qualified administrative/academic officers	Organizational chart to clarify the leadership roles and the names of the persons to be reviewed; position descriptions and details as to appropriate qualifications for each person to be reviewed; policies and procedures in place for the regular evaluation of administrators resumes that are current	CS 3.2.8 CS 3.2.10	
Section 6: Faculty				Dean Jessica Cooper Dean George Johnson
6.1*	Full-time faculty (CR)	Definition of full-time and part-time faculty, regular/permanent faculty, part time, faculty, student faculty, student/faculty ratio; references to faculty handbooks or other official publications that define terms and give insight into expectations of the institution in terms of the role of faculty; narrative describing role of full-time faculty supporting the adequacy of the mission of the institution including research and service; policies describing the role of full-time faculty (and others) in carrying out the basic functions of the faculty as described in rationale and notes; data such as number of faculty, number of students, faculty workloads (contractual and actual); proportion of courses taught by full-time faculty, part-time faculty, graduate assistants; comparisons of peer institutions; student credit hours generated by full-time and part-time faculty; policies governing employment of part-time faculty and graduate assistants	CR 2.8	
6.2.b	Program faculty	Documentation and justification of qualifications of faculty; definition of full-time and part-time faculty; policies and procedures governing the training and oversight of part-time faculty and graduate assistants; institutionally generated tables and charts summarizing program size and the number of full-time and part-time faculty by program; institutionally-generated tables and charts summarizing program delivery (credit hours generated) by full-time and part-time faculty; institutional policies and procedures affecting	CR 2.8	

		the responsibilities and functions of the faculty; workload data across the different programs; comparisons with peer institutions or with external benchmarks; data on full-time faculty oversight and participation at various locations and across modes of delivery		
6.2.c	Program coordination	Roster of program coordinators, their area or areas of responsibility, and their qualifications for coordinating the program; description of coordinator responsibilities; wording in contracts, faculty handbooks, or other documents that outline program coordination responsibilities; academic organization charts and narrative that clarify coordination responsibilities; examples of appropriate coordination of curricular content, especially when it does not fit the organizational charts	CS 3.4.11	
Section 8: Student Achievement				Shanna Bradford Dr. Shane Kendell
8.1*	Student achievement (CR)	Published evidence containing tables, charts, and/or narrative that include criteria, thresholds of acceptability, and findings related to student achievement; discussion of the underlying rationale for the chosen criteria and thresholds in relation to the institution's mission; data underlying the findings	CS 3.3.1.1 FR 4.1	
8.2.a	Student outcomes: educational programs	Lists of program-specific expected student learning outcomes for educational programs (usually embedded into individual program or unit reports); descriptions of the assessment measures used to collect information on student learning; details on the assessment and analysis of results from these assessments; specific examples where the findings from analysis of results have led to efforts to make program improvements; if sampling is used, (1) how the sampling is representative of the institution's mission, (2) documentation of a valid cross-section of programs, and (3) make a case as to why sampling and assessment findings are an appropriate representation of the institution's programs	CS 3.3.1.1	
Section 9: Educational Program Structure and Content				Dean Chris Beardsall Dean Edith Orozco
9.1*	Program content (CR)	Institutional summary form; publications listing courses required in each program offered, providing course descriptions, and course and program prerequisites; published definitions of majors and	CR 2.7.2 CS 3.4.11	

		degrees; policies and processes ensuring coherence of programs and compatibility with the mission; minutes, institutional forms (not blank) from curriculum committees addressing the appropriateness, mission, and or coherence; degree requirements, residency requirements, and other experiences as part of a program; comparative data with similar institutions; rationales for programs and their suitability for higher education; state mandates for curriculum requirements and/or guidelines		
9.2*	Program length (CR)	Institutional publications describing approved degree program requirements at all levels (associate, baccalaureate, graduate, and professional) that include the number of credit hours for each degree; policy statements outlining minimum degree requirements; if the institution's primary measure is not a semester credit hour, a description of any alternative approach deemed equivalent to a semester credit hour and an explanation of how it determines program length; if a few special programs do not rely on the semester credit hour, a description of how those programs determine equivalency (e.g., medical schools, direct assessment competency-based programs, hybrid programs); justification of the length of a degree that includes fewer than the required number of hours; justification of the length of combined programs that contain fewer than the required number of unduplicated combined hours	CR 2.7.1 FR 4.4	
Section 10: Educational Policies, Procedures, and Practices				Dr. Mordecai Brownlee Dr. Diane Gavin
10.2	Public information	Publications that include information about academic calendars, grading policies, and refund policies; details on how this information is provided to students taking distance education classes at off-campus locations, or via other modes of delivery such as competency-based education	CS 3.4.3 FR 4.3	
10.3	Archived information	Details on where archival versions of catalogs are maintained; information on how the catalogs can be accessed by the public; evidence that information is available to the public	CS 3.13.6	
10.5	Admissions policies and practices	Admission policies of the institution and of specific programs; undergraduate and graduate catalogs that include admission policies, standards, and procedures; institutional and specific	CS 3.4.3 CS 3.13.7 FR 4.6	

		program brochures and other recruitment materials or electronic resources stating admission policies and procedures; documents describing how the institution evaluates applications and makes admissions decisions to the institution and to programs; minutes or other documents showing evidence that the institution follows its admissions policies and that these policies and practices are appropriate; documentation that exceptions are handled appropriately; system policy or legislation regarding admission policies and procedures, if applicable; boilerplate expectations for admissions presentations; details on the training of those involved in recruitment; contracts, MOUs, or other documents relating to practices of independent contractors or agents used in recruitment activities		
10.6 a – c	Distance and correspondence education	Identification of the method(s) used by the institution to verify the identity of the student enrolled in distance or correspondence education courses or programs; institutional technology policies and procedures that apply to usernames, passwords, and protection of data; description of the process for the initial verification of identity; written procedure regarding the protection of privacy of the student enrolled in distance or correspondence education courses or programs (details on where and how that information is published); written procedure addressing the notification of projected additional student charges associated with verification of student identity (details on where and how that information is published); process for ensuring ongoing verification, including persons responsible for implementation	FR 4.8	
10.7	Policies for awarding credit	The institution's policy for determining credit hours awarded, including the definition of a credit hour used by the institution; policies and procedures for decisions related to the amount and level of credit for courses; details as to where these policies and procedures are published; evidence that the institution consistently applies its policies and procedures in awarding credit for courses and programs; minutes, check sheets, and other documents showing the approval process for the level and amount of credit for courses (not blank forms); descriptions of processes and criteria	CS 3.4.6 CS 3.4.8 FR 4.9	

		used to award credit for courses and programs that are not "traditional;" list of responsibilities and of membership of the institution's curriculum committee or its equivalent, with evidence concerning academic qualifications of membership		
10.9	Cooperative academic arrangements	Copies of signed contracts and consortial agreements; evidence that the institution regularly evaluates the cooperative academic arrangement against the purpose of the institution; documents that clearly stipulate the responsibility of each party to ensure course quality; documents that clearly stipulate the responsibility of the SACSCOC institution to ensure ongoing compliance with the standards/requirements as applicable to the cooperative academic arrangement; redacted transcripts that demonstrate how the credits earned under these agreements appear on the institution's transcript	CS 3.4.7 CS 3.13.2 CS 3.13.6	
Section 12: Academic and Student Support Services				Dr. Paul Machen Dean Christina Cortez
12.1*	Student support services (CR)	Descriptions of the various academic and student support programs, services, and activities; narrative relating the support programs, services, and activities to the mission of the institution; publications and websites (e.g., academic support services) explaining how support programs and services are provided and accessed; data on the frequency of usage of academic and student support services, programs, and activities by students and faculty; surveys indicating that student and faculty needs are being met	CR 2.10 CS 3.4.9	
12.4	Student complaints	Policies and procedures for addressing written student complaints; details on where the policies and procedures are published and efforts taken to ensure students, faculty, and staff are aware of the policies; an example of a written student complaint resolution (with sensitive information redacted); a description of how the institution maintains a record or records of written student complaints that includes: the individuals/offices responsible for maintenance of the record(s), elements of a complaint review that are included in the record(s), where the record(s) is located if centralized, or how records are maintained if decentralized.	CS 3.13.3 FR 4.5	
Section 13: Financial and Physical Resources				Dr. Vanessa Anderson

				Jorge Flores
13.6	Federal/state responsibilities	Most recent federal awards/financial aid audit; audits of state financial aid programs; institutional responses to all audits and/or findings; copies of all relevant correspondence received from the U.S. Department of Education for ongoing compliance issues including liabilities owed (copies of institutional response to U.S. Department of Education correspondence; negotiated settlement agreements for the payoff of any fines or monies owed in connection with program reviews; internal audits related to federal or state financial aid programs; copies of any reports on compliance from the U.S. Department of Education	CS 3.10.2 FR 4.7	
13.7	Physical resources	Narrative relating physical resources to the scope of programs and the size of the institution; comparative data for benchmarking if available; documentation of the adequacy and condition of physical resources at all locations; facilities master plan or academic master plan with facilities discussion (if there is one), with updates and details on implementation; surveys from faculty, staff, and students addressing adequacy of the institution's physical facilities; data comparing facility needs to actual facilities available – specifics on classrooms, offices, libraries, laboratories; internal audit and risk management reports related to physical resources; plans and activities relating to routine, preventative, and deferred maintenance; most recent annual capital budget; a video or other virtual means to provide a "walking tour" of all the institution's facilities; details on computer network infrastructure, portal, and learning management system; annual reports from facilities contractors; campus map	CR 2.11.2 CS 3.8.1 CS 3.11.1 CS 3.11.3	
13.8	Institutional environment	Evidence that the institution has qualified staff to carry out the safety, security, and health plans of the institution; current safety, emergency, and disaster plans; emergency procedures and evacuation plans; inspection reports (e.g., health, safety, etc.); Clery Act reports and evidence of their publication; evidence of compliance with environmental and occupational regulations; evidence of corrective action, if appropriate; policies and training regarding harassment, hazardous materials, etc.; copies of Safety	CS 3.11.2	

		Committee minutes; summary of an open or recently closed investigations by the Office of Civil Rights for possible violations alleging sexual violence (correspondence with the Office of Civil Rights on such cases (e.g., letters and emails – not the full file)		
Section 14: Transparency and Institutional Representation				Adrian Jackson Ricardo Lopez
14.1	Publication of accreditation status	Catalogs, handbooks, and webpages where accreditation is referenced	CS 3.13.5.a CS 3.14.1	
14.3	Comprehensive institutional reviews	If an institution has off-campus sites, branch campuses, and/or offers courses through distance learning as a delivery mode, then mention of sites and modes should be peppered throughout a Compliance Certification, Application for Membership, or Fifth Year Interim Report; branch campus will often need narratives similar to what is offered for the main campus, especially with regard to faculty, academic and student support, physical resources, budgets, student achievement, library and learning resources, and educational policies; it is common to see subheadings and other similar means to clarify site/modal differences when responding to the charge to apply "all appropriate standards and policies."	CS 3.13.4.a	
14.4	Representation to other agencies	Excerpts from reports prepared for other accreditors or reports by other accreditors; screenshots and printouts on the institution from accreditor websites and directories; printout from the USDOE accreditation database; copies of letters mailed to SACSCOC notifying of a change in accreditor status (and any letter received in return)	CS 3.13.1	

*= Core Requirement