



THE UNIVERSITY
of **NORTH CAROLINA**
at **CHAPEL HILL**

**RESPONSE TO THE
JANUARY 15, 2013 REQUEST**

**FROM THE
SOUTHERN ASSOCIATION OF
COLLEGES AND SCHOOLS
COMMISSION ON COLLEGES**

March 8, 2013

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at CHAPEL HILL

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March 7, 2013

Belle S. Wheelan, Ph.D.
President
Southern Association of Colleges and Schools
Commission on Colleges
1866 Southern Lane
Decatur, Ga. 30033-4097

Dear Dr. Wheelan:

Enclosed is the University's First Monitoring Report for review by members of the Special Committee before their campus visit to next month. Our report reflects careful consideration of your January 15, 2013, letter and the actions taken by the SACS Commission on Colleges (SACSCOC) Board of Trustees in December.

As a proud founding member of SACS, UNC-Chapel Hill is fully and completely committed to the association's accreditation standards. We look forward to the opportunity to demonstrate full compliance with all SACSCOC standards to members of the Special Committee and to detail the many steps the University has taken to correct and strengthen policies, procedures and practices to make sure these issues related to the unprofessional and unethical behavior of two former employees will not happen again.

Consistent with our practice since we completed the initial internal review in African and Afro-American studies in May 2012, we immediately sent SACSCOC the results of any relevant reviews and investigations. Since the Commission's Board of Trustees met in mid-December, we have provided SACSCOC with the following:

- Baker Tilly's Review of Policies and Procedures (December 2012)
- Governor Martin's Academic Anomalies Review Report of Findings (December 2012)
- Governor Martin's Academic Anomalies Review Report of Findings, Updated with an Addendum (January 2013)
- UNC Board of Governors Academic Review Panel Report (February 2013)

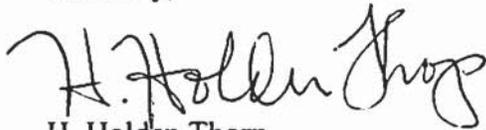
Belle S. Wheelan, Ph.D.
March 6, 2013
Page 2

These reports and reviews further and forcefully demonstrate that the University has thoroughly investigated and corrected the problems that quite appropriately were of concern to SACSCOC. The outside, independent affirmation of the validity of our internal reviews and actions has been very important.

With this First Monitoring Report and the April visit with members of the Special Committee in April, we believe we will be able to answer any remaining questions about our compliance with SASCOC accreditation standards.

Please let me know if you have questions or need more information before the committee's visit to Chapel Hill.

Sincerely,



H. Holden Thorp

HHT:bl

cc: Dr. Cheryl D. Cardell, Vice President, SACSCOC

thorp/wheelan030613



JAN 22 2013

#13

January 18, 2013

Dr. Holden Thorp
Chancellor
The University of North Carolina
at Chapel Hill
103 South Building, Campus Box 9100
Chapel Hill, NC 27599-9100

Dear Dr. Thorp:

Thank you for your letter of December 20, 2012, received by the Commission on January 3, 2013. Your letter describes the purpose of the UNC-CH Board of Trustees special meeting held on December 20, 2012. That is, to hear directly from former North Carolina Governor James Martin about his independent review and report entitled, "The University of North Carolina at Chapel Hill Academic Anomalies Review Report of Findings." This document was attached with your letter to SACSCOC. Your December 20, 2012 letter also states that the UNC-CH trustees heard from Raina Rose Tagle, a partner with the management consulting firm Baker Tilly, which specializes in academic performance procedures and controls. Baker Tilly produced an external assessment of the plans of the University to implement a number of enhancements to academic policies, processes, procedures, and systems in response to the institution's "Independent Study Task Force Report" and the "Review of Courses in the Department of African and Afro-American Studies, College of Arts and Sciences." The Commission appreciates your efforts to keep us informed via the previous self-disclosure, and by the current forwarding of copies of the James Martin and Baker Tilly documents.

By now you should have received the January 2013 letter detailing the action taken by the SACSCOC Board of Trustees in December 2012. The January 2013 letter from SACSCOC asks the institution to provide a First Monitoring Report addressing particular standards of the *Principles of Accreditation*, and informs UNC-CH that a Special Committee is authorized to visit the institution. I write today, to let you know that the information you provided in your December 20, 2012 letter (with attachments) should be included as part of the First Monitoring Report.

If you have any questions, please contact your SACSCOC staff member, Dr. Cheryl Cardell (ccardell@sacscoc.org).

Sincerely,

Belle S. Wheelan, Ph.D.
President

BSW/CDC:rb

cc: Dr. Lynn E. Williford
Dr. Cheryl D. Cardell



JAN 22 2013

#1

January 15, 2013

Dr. Holden Thorp
Chancellor
The University of North Carolina at Chapel Hill
103 South Building
Campus Box 9100
Chapel Hill, NC 27599-9100

Dear Dr. Thorp:

The following action regarding your institution was taken at the December 2012 meeting of the Board of Trustees of SACS Commission on Colleges:

The Commission on Colleges reviewed a Special Report focusing on the following *Principles of Accreditation*: Comprehensive Standard 3.4.5 (Academic policies), Comprehensive Standard 3.4.9 (Academic support services), Comprehensive Standard 3.9.2 (Student records), and Federal Requirement 4.9 (Definition of credit hours). The request for the Special Report stemmed from news articles, an NCAA Report, and other types of unsolicited information.

Because of significant deficiencies, the institution is strongly advised to take immediate steps to come into compliance with the following standards of the *Principles of Accreditation*: Comprehensive Standard 3.4.5 (Academic policies), Comprehensive Standard 3.4.9 (Academic support services), Comprehensive Standard 3.9.2 (Student records), and Federal Requirement 4.9 (Definition of credit hours). Failure to do so could result in your institution being placed on sanction at the time of its next review. The Committee authorized a Special Committee to visit the institution.

The institution is requested to submit a First Monitoring Report due **four weeks in advance of the Special Committee visit but not later than April 15, 2013**, addressing the following referenced standards of the *Principles*:

CS 3.4.5 (Academic policies)

The institution did not provide sufficient documentation to demonstrate that issues related to its review of academic policies have been resolved effectively. The policies and guidelines related to Independent Study Courses and Course Syllabi have not been implemented to ensure the integrity of the institution's academic policies and to comply with the standard.

The institution should provide evidence that it has completed its review, implemented revised policies and guidelines related to Independent Study Courses and Course Syllabi, and ensured the integrity of its academic policies.



Dr. Holden Thorp
January 15, 2013
Page Two

CS 3.4.9 (Academic support services)

The Committee could not determine the effectiveness of its initiatives related to its academic support program for student athletes, the outcomes of its implementation of policies related to tutors for student-athletes, and personnel changes for the direction of the ASPSA.

The institution should provide evidence that the leadership and substance of its academic support services are consistent and sufficient to ensure the effectiveness and integrity of its support of its students.

CS 3.9.2 (Student records)

The institution's initiatives involving grade change, security measures, contextualized transcripts, audit measures, course renumbering, enrollment patterns, and related issues are still being developed. The institution has projected implementation dates in the future and, therefore, has not demonstrated that it ensures the security, validity, and integrity of its student records.

FR 4.9 (Definition of credit hours)

The institution's initiatives to monitor compliance with credit hour policies and to address issues related to credit hour assignments and class schedules are still being developed. The institution provided descriptions of proposed dashboard reports designed to ensure the integrity of analytical reporting across student, financial, and human resources administrative information. The institution has projected future implementation dates and, therefore, has not demonstrated compliance with the standard.

The institution should complete and implement its initiatives related to the effective and appropriate review of credit hour assignments, class schedules, and other issues to ensure the integrity of its policies and procedures.

Additional Information Requested

The institution did not provide sufficient evidence that it had addressed the breaches of academic integrity related to degrees that were awarded to students who were given credit for courses determined by the University to be "aberrant," beyond discussing the number of student credit hours listed on those transcripts and the inability to reconstruct degree requirement worksheets for those students. The institution should demonstrate its efforts to rectify the academic integrity of those degrees.

The institution indicated that internal and external investigations regarding academic integrity were ongoing at the time of its response. The institution should report on the results of these investigations and on the actions taken by the institution to address issues related to compliance with the *Principles of Accreditation*.



Dr. Holden Thorp
January 15, 2013
Page Three

Guidelines for the monitoring report are enclosed. Because it is essential that institutions follow these guidelines, **please make certain that those responsible for preparing the report receive the document. If there are any questions about the format, contact the Commission staff member assigned to your institution.** When submitting your report, please send **four copies** to your Commission staff member.

Please note that Federal regulations and Commission policy stipulate that an institution must demonstrate compliance with all requirements and standards of the *Principles of Accreditation* within two years following the Commission's initial action on the institution. At the end of that two-year period, if the institution does not comply with all the standards and requirements of the *Principles*, representatives from the institution may be required to appear before the Commission, or one of its standing committees, to answer questions as to why the institution should not be removed from membership. If the Commission determines good cause at that time, the Commission may extend the period for coming into compliance for a minimum of six months and a maximum of two years and must place the institution on Probation. If the institution has been placed on Probation within the two-year period, extension of accreditation beyond the two-year period for good cause is dependent on the amount of time the institution has already been on Probation. An institution may be on Probation for not more than two years. If the Commission does not determine good cause or if the institution does not come into compliance within two years while on Probation, the institution must be removed from membership. (See enclosed Commission policy "Sanctions, Denial of Reaffirmation, and Removal from Membership.")

If you have questions, please contact the Commission staff member assigned to your institution.

Sincerely,

A handwritten signature in cursive script that reads "Belle S. Wheelan".

Belle S. Wheelan, Ph.D.
President

BSW:ch

Enclosures

cc: Dr. Cheryl D. Cardell



THE UNIVERSITY
of NORTH CAROLINA
at CHAPEL HILL

HOLDEN THORP
Chancellor

103 SOUTH BUILDING
CAMPUS BOX 9100
CHAPEL HILL, NC 27599-9100

T 919.962.1365
F 919.962.1647

October 10, 2012

Cheryl D. Cardell, Ph.D.
Vice President
Southern Association of Colleges and Schools
Commission on Colleges
1866 Southern Lane
Decatur, GA. 30033-4097

Dear Dr. Cardell:

We appreciate this additional opportunity to respond to your August 21, 2012, letter about the University's ongoing efforts to correct the problems found in our review of academic issues in the Department of African and Afro-American Studies. Enclosed is the formal response you requested addressing our academic policies, academic support services, student records, definition of credit hour, and the integrity of the degrees the University already has awarded.

The seriousness with which the University takes these issues is reflected in our comprehensive approach to fully identifying any additional problems, issues, or policies and procedures that can be strengthened further to prevent this from happening again. The four internal reviews and reports we have completed identified more than 70 recommendations, many of which have led to new policies and procedures to strengthen academics. We will also be informed in any additional steps going forward by three additional reviews commissioned by the University:

- Former North Carolina Governor James Martin has been working for several weeks on an independent review of any additional academic irregularities that may have occurred before 2007. He is being assisted by management consulting firm Baker Tilly Virchow Krause, LLP. I told Governor Martin and Baker Tilly to explore any and all issues as they see fit, with no restrictions. The University has cooperated fully. While public interest is focused on student-athletes in some problematic courses, my interest is that **all** of our students get the high-quality educational experience they should expect at Carolina.

- We have also engaged Baker Tilly to conduct a separate review of the academic procedures and controls we have already implemented to be sure they represent best practices and, if not, to make specific recommendations for improvement. We want to be sure our internal controls are strong; external validation from an experienced firm like Baker Tilly is important.
- When the reviews by Martin, Baker Tilly and the UNC Board of Governors panel are completed, Hunter Rawlings, president of the Association of American Universities, will help examine the appropriate future relationship between academics and athletics at Carolina. We expect that campus conversation to take place next spring.

We will always put academics first in considering the challenge of combining academics and athletics at a university like UNC-Chapel Hill. Our Athletics Director Bubba Cunningham, who is approaching the one-year anniversary of his selection, shares these values and our belief that we can accomplish this objective. He and College of Arts and Sciences Dean Karen Gil have made substantial progress in working jointly to increase transparency and accountability across athletics and place a renewed focus on putting academics first.

I have been heartened by recent statements of support for faculty colleagues in the Department of African and Afro-American Studies, which is an essential part of this University. Those attending received a standing ovation at our first Faculty Council meeting of the academic year after unanimous approval of a resolution affirming the integrity and validity of the intellectual disciplines represented in the department. The council also endorsed the conclusions and recommendations in the Faculty Executive Committee report completed in July. At our most recent meeting, council members approved new guidelines strengthening requirements for course syllabi, another positive step. Our faculty leaders are engaged and involved in helping find and implement solutions for these issues. And we continue to work closely with our own Board of Trustees, UNC President Tom Ross and the Board of Governors.

Our goal is not just to clean this up and move on. Long term, we intend to be a much better university. That is my objective for the remaining eight months of my tenure as chancellor. As an alumnus, faculty member and administrator here for three decades, resolving these challenges is important to me personally. I want to leave the

Cheryl D. Cardell, Ph.D.

October 10, 2012

Page 3

University's next chancellor in the best possible position to focus on the University's mission of teaching, research and public service.

Please let me know if you have questions or need more information.

Sincerely,

A handwritten signature in cursive script, appearing to read "H. Holden Thorp".

H. Holden Thorp

HHT:bl

Thorp/cardell

AUG 28 2012

#2

August 21, 2012

Dr. Holden Thorp
Chancellor
The University of North Carolina at Chapel Hill
103 South Building
Campus Box 9100
Chapel Hill, NC 27599-9100

Dear Dr. Thorp:

Thank you for providing me with the response to the July 2, 2012 letter from SACSCOC, and for a copy of the August 16, 2012 email you sent to the University community. The August 16, 2012 communication identifies several additional administrative steps being taken by the institution regarding issues of academic integrity.

In reference to additional UNC-CH administrative changes and system improvements, since these things have occurred subsequent to the report requested by the Commission in July (received August 2), I now ask that the identified actions be incorporated into a second formal response from the University. Accordingly, please provide an additional report addressing the following *Principles of Accreditation*: C.S. 3.4.5 (academic policies); C.S. 3.4.9 (academic support services); C.S. 3.9.2 (student records); F.R. 4.9 (definition of credit hour). Specifically, please include in your response additional details and documentation as follows:

C.S. 3.4.5 (academic policies)

- update on the compliance progress regarding the October 2011 revised policy for Independent Study courses within the Department of African and Afro-American Studies
- update on the Educational Policy Committee Syllabus guideline proposed policy action

C.S. 3.4.9 (academic support services)

- a copy of a completed proxy request for course registration for student athletes
- documentation of the Spring 2012 and, if applicable, Fall 2012 meeting of the ASPSA's faculty/staff advisory committee
- update on the search for a new ASPSA Director along with a College of Arts and Sciences organizational chart

C.S. 3.9.2 (student records)

- update on the progress toward non-manual grade change initiatives
- update on the Independent Study renumbering project
- a report on student athlete enrollment pattern monitoring

F.R. 4.9 (definition of credit hour)

- update on additional academic units' examination of undergraduate for-credit course classifications and numbering systems
- update on the design of "dashboard views" that enable the review of inconsistencies in credit hour assignments and class schedule



Golden Thorp
August 22, 2012
Page Two

The information requested above addresses your current activity in ensuring that current and future students enrolled in credit-bearing courses are not awarded credit when students fail to complete work necessary to earn the credit. There is another significant concern that deals directly with what the University is doing to restore the integrity of degrees awarded in the past that included credit in courses identified by your own internal review to be "aberrant"; more specifically, in cases where there was a conversion of temporary grades or unauthorized grade changes. The institution is requested to account for the integrity of degrees (or any other credential) that were awarded to students who were given credit for courses determined by the University to be "aberrant" within the Department of African and Afro-American Studies in the College of Arts in Sciences during the years 2007 thru 2011. Because self-regulation in the form of accreditation has as its primary purpose maintaining the quality of institutions and the integrity of their educational missions, this part of your report will be extremely important.

Please submit to my office two copies of the institution's response to this letter by no later than October 12, 2012.

In accord with Commission policy on the receipt of unsolicited information, the institution's response will be reviewed, and if Commission staff determines that the unsolicited information is of factual substance and is accreditation related, the information and documentation, along with the institution's responses will be forwarded for formal review to the Committee on Compliance and Reports, standing committees of SASCOC Board of Trustees, or it is possible that the President of SACSOC could authorize a Special Committee to review the institution.

If you have any questions, please feel free to contact me at 404.679.4501 ext. 4529.

Sincerely,

A handwritten signature in cursive script that reads "Cheryl D. Cardell".

Cheryl D. Cardell, Ph.D.
Vice President

cc: Dr. Belle Wheelan, President, SACS Commission on Colleges

Williford, Lynn E

From: Williford, Lynn E
Sent: Monday, August 20, 2012 5:55 PM
To: 'ccardell@sacscoc.org'
Subject: additional information
Attachments: Chancellor's Update.pdf

Dear Cheryl,

Thanks for taking the time to talk with University Counsel Leslie Strohm, University Registrar Chris Derickson, and me on Friday. Attached for your information is a copy of the email we referenced, which Chancellor Holden Thorp sent to the University community on August 16th. In the message, he summarized a number of new initiatives we have undertaken to protect academic integrity at UNC-Chapel Hill, some of which had not yet been implemented when we submitted our report to you on August 2nd.

Please let me know if you have any questions. Again, we sincerely appreciated your helpfulness.

Best regards,
Lynn

Lynn Williford, PhD
Assistant Provost for Institutional Research & Assessment
313 Carr Bldg., CB 3350, UNC-Chapel Hill
Chapel Hill, NC 27599-3350
lynn_williford@unc.edu
Phone: 919-962-1339 fax: 919-962-1341

Williford, Lynn E

From: nobody@notify.unc.edu on behalf of chancellor@unc.edu
Sent: Thursday, August 16, 2012 2:46 PM
To: Williford, Lynn E
Subject: FORMAL NOTICE: Update from Chancellor Thorp

Dear Carolina Trustees, Faculty and Staff,

This has been a year of great accomplishments and, at the same time, significant challenges.

This weekend, we will welcome nearly 4,000 outstanding first-year students whom we accepted from a record 29,000 applicants, up 24 percent over last year. Our faculty brought in an estimated \$767 million in research funding despite a challenging federal budget picture. Alumni and friends stepped up their private giving for our second best year ever. With the state budget stabilized, the General Assembly provided for modest faculty and staff raises for the first time in four years.

And we have launched a campus-wide initiative to develop our 21st-Century Vision of the Public University.

Against this backdrop of achievement, we disclosed in May serious breaches of academic integrity that had occurred in our Department of African and Afro-American Studies. We forced the retirement of Professor Julius Nyang'oro, who had earlier stepped down as department chair. A former departmental manager had long ago retired from the University. They were the only people implicated in the investigation. Throughout, we have kept our Board of Trustees, UNC President Ross and the leadership of the Board of Governors informed. We have been and are continuing to conduct our review in a deliberate and careful manner. Our focus every day remains on fixing the problems and ensuring they never happen again.

We also had four extensive reviews that examined what went wrong and recommended improvements and new safeguards. We are implementing every recommendation made in these reports:

- * Review of Courses in the Department of African and Afro-American Studies: a departmental review that found 54 irregularly taught courses among 616 offered between summer 2007 and summer 2011; see the report at <http://www.unc.edu/news/12/1.pdf>.
- * Report on Academic Support Program for Student-Athletes: an examination of ways to better serve the academic needs of student-athletes following the relocation of the Academic Support Program for Student-Athletes to the Loudermilk Center for Excellence; see the report at <http://www.unc.edu/news/12/3.pdf>.
- * Independent Study Task Force Report: an assessment of independent study practices throughout the College of Arts and Sciences that produced recommendations for consistent policies college-wide to be implemented beginning this semester; see the report at <http://www.unc.edu/news/12/2.pdf>.
- * Faculty Executive Committee Report: a faculty-led examination of the University's reviews of courses in the African and Afro-American Studies department and independent studies, with a focus on identifying issues that contributed to the academic problems and recommendations for next steps; see the report at <http://www.unc.edu/news/12/4.pdf>.

In addition, a panel of the UNC Board of Governors began its own review last month to assess our investigative work and to determine whether the steps we have taken and proposed are reasonable and adequate to protect the University's academic integrity and help prevent a similar situation from occurring again. We are cooperating fully in that effort.

As we start the new school year, I want to share what we have done so far and the additional steps we are taking to ensure integrity.

Former Governor James G. Martin agrees to lead continuing review of courses:

As part of our ongoing review of academic irregularities disclosed in May in our review of courses in African and Afro-American Studies, we have been reviewing the extent to which irregularities may have occurred prior to 2007. In consultation with our Board of Trustees and UNC President Tom Ross, we have asked James G. Martin, former N.C. governor and a former professor at Davidson College, to lead an independent review of any additional academic irregularities that may have occurred.

Governor Martin's expanded review will be assisted by Virchow, Krause & Company, LLP, a national management consulting firm with extensive experience in academic performance audit procedures and controls.

Members of the Board of Trustees, President Ross and I all believe that this is an important step in rebuilding the confidence that you deserve to have in our academic integrity. This review will begin immediately.

Governor Martin and Virchow, Krause & Company will provide their findings to the UNC Board of Governors panel that is now assessing the University's previous investigation. We will then ask Virchow, Krause & Company to review the new academic performance policies, procedures and controls that we have already implemented to ensure that they represent best practices and, if not, to make specific recommendations for improvement. We are determined to make sure that our internal controls are such that irregularities of the past will not recur.

Appointment of Hunter Rawlings to examine the role of athletics in the life of the University:

In its report, the Faculty Executive Committee acknowledged the complicated relationship between academics and athletics and recommended that I appoint outside experts to provide an independent, comprehensive analysis of that relationship. I agree that finding the right balance is essential, and we have the opportunity now to determine where we want to be in the future.

I have asked Hunter Rawlings, president of the Association of American Universities (AAU), to help us examine the appropriate future relationship between academics and athletics at the University. The AAU is the association of 61 preeminent public and private research universities. Hunter's credentials are impressive. He is a member of the American Academy of Arts and Sciences. He was president of the University of Iowa and Cornell University. His degrees are in classics - from Haverford and a Ph.D. from Princeton. He also brings personal experience as a student-athlete. While he was in college, he was the star of the men's basketball team, and he pitched for the baseball team.

We will launch this effort after Governor Martin and Virchow, Krause & Company complete their independent review and after the Board of Governors' panel wraps up its work. Our goal is to engage the entire campus community in a meaningful discussion and analysis of the role of athletics in the life of the University.

Changes in the Academic Support Program for Student Athletes:

College of Arts and Sciences Dean Karen Gil, Athletic Director Bubba Cunningham, the Board of Trustees and I have been examining ways to strengthen the intersection of academics and athletics. Our plans reflect excellent ideas from members of our faculty and are entirely consistent with the report issued by the 2011 Task Force on Athletics and Academics commissioned by President Ross. That report recommended that academic affairs be "fully in control" of academic support services related to athletics.

We are implementing plans now to:

Reorganize the Academic Support Program for Student-Athletes and Hire a New Leader:

The College has, for several months, been engaged in the process of reorganizing the Academic Support Program for Student-Athletes, and has launched a national search for a new director. Steve Matson, dean of the Graduate School, is chairing the search. The new director will report solely to the College of Arts and Sciences and will have the authority to manage the program's budget. Harold Woodard, associate dean and director of the Center for Student Success and Academic Counseling, will serve as interim director of the Academic Support Program for Student Athletes. Collectively, these changes provide the opportunity to move forward with a fresh perspective.

Expand Academic Advising:

Like all students at Carolina, each student-athlete is assigned a primary academic advisor through the College's Academic Advising Program. The College will strengthen the role of the advisors by adding two new positions to monitor and oversee academic advising for student-athletes.

Coordinate and Clarify the Relationship between Academic Advising and the Academic Support Program for Student-Athletes:

We are making it unequivocally clear that the College of Arts and Sciences is in charge of Academic Advising and the Academic Support Program for Student-Athletes. The College will enhance its training and supervision of academic advisors and academic counselors to strengthen their distinct, but complementary, roles and responsibilities.

Expand the Summer Bridge Program:

The College is expanding its successful summer residential academic support program to incorporate student-athletes who may need help with their personal and academic transition from high school to the University.

Strengthen Faculty Involvement in Athletics:

We are strengthening relationships among the Faculty Advisory Committee of the Academic Support Program, the Faculty Athletics Committee and the faculty representative to the ACC/NCAA. Professor Joy Renner, the new chair of the Faculty Athletics Committee, spent the summer meeting with members of her committee, the administration and Athletics Department to discuss how the committee can better ensure academic integrity and full integration of student-athletes into the life of the University. To meet the complex challenges associated with balancing academic and athletic excellence, it's essential that faculty be visibly engaged in relevant policies and practices.

Changes in the Department of Athletics:

Athletic Director Bubba Cunningham is the right person to help us move forward. He wants our student-athletes to get a world-class education, with high academic standards. To that end, he and College Dean Karen Gil are working collaboratively to strengthen the connections between academics and athletics.

Bubba recently completed a comprehensive analysis of the department and has reorganized to strengthen the department. He has hired two new staff members.

Senior Associate Athletic Director Vince Ille comes from the University of Illinois, where he was first an assistant athletic director for compliance and then a senior athletic director. He will be the liaison with academic advising and counseling for student-athletes. Bubba has made clear that these functions remain independent of athletics and are part of the College of Arts and Sciences. Vince will coordinate with the College. He will also supervise the compliance program and work with staff to minimize the risk of NCAA infractions.

Associate Director Paul Pogge was associate athletic director for strategic planning and partnerships at the University of Denver. He will assist in coordinating student-athlete eligibility, the NCAA's Academic Progress Rankings, risk assessment and summer camps.

A wide range of improvements in the department, the College and the University:

The Department of African and Afro-American Studies, all of the departments in the College of Arts and Sciences, and the Summer School all have new policies and procedures in place to prevent irregularities going forward:

- * The department has entirely new leadership and governance structure, and new policies and procedures for independent studies.
- * The new chair, Professor Eunice Sahle, has a vision for the department that will further strengthen the excellent teaching, research and service being done by its current faculty.
- * Stronger and more consistent policies for exams, grading and course syllabi are now in place.
- * The College is implementing consistent best practices for independent study in all of its academic departments.
- * The College now follows an annual process for reviewing all teaching assignments and enrollments in every academic department and curriculum.
- * The Summer School has implemented new policies and monitoring tools.
- * ConnectCarolina, the University's new centralized database, now enables stronger management of monitoring and tracking student records and grade forms.

Summary

I am a graduate of this great University, I have served on its faculty, and I am proud now to be the chancellor. The academic issues that we have confronted are unacceptable for our University, and we are intent on resolving them. Nothing is more important than restoring integrity to this University that we all love.

The great things we have accomplished would not be possible without your hard work and dedication to this University. So thank you for all that you do for the University of North Carolina at Chapel Hill.

Sincerely,

Holden Thorp

This email is sponsored by: Office of the Chancellor



August 2, 2012

Cheryl D. Cardell, Ph.D.
Vice President
Southern Association of Colleges and Schools
Commission on Colleges
1866 Southern Lane
Decatur, GA 30033-4097

Dear Dr. Cardell:

Thank you for providing the University with an opportunity to address questions related to the two reviews we shared in May detailing academic issues in the Department of African and Afro-American Studies and an assessment of independent study practices in the College of Arts and Sciences. Enclosed, and being hand-delivered by my colleagues Bobbi Owen and Lynn Williford, is the report you requested explaining and documenting the University's compliance with five standards of the Principles of Accreditation, along with the federal requirement defining credit hours, related to academic integrity.

I can assure you that the highly unethical and unprofessional activity we believe involved two people in that one department is completely at odds with our values as a University community. Publicly disclosing the course review – both to serve as a deterrent and to absolve dedicated faculty in the department who have done nothing wrong – was an important step in protecting the University's integrity.

Much of the attention in this case has focused on the role of student-athletes in the questionable classes. From our perspective, the number of athletes in these classes was not the problem. The real issue is that they were not taught properly. We expect our professors to use a syllabus, meet face to face with students, and give them the educational experience they deserve.

During this ordeal, we have asked hard questions, and we have found answers that are painful for a University built on a commitment to academic excellence. What happened was wrong. There is no excuse and no justification for it. As chancellor, I have taken responsibility for that and for cleaning up the problem and making sure it never happens again.

Cheryl D. Cardell, Ph.D.

August 2, 2012

Page 2

We wrote to you in May about the new policies and procedures in place for independent study courses in the department, the College of Arts and Sciences and in the Summer School. In the department, under new Chair Eunice Sahle's leadership, stronger procedures are in place for independent studies, course syllabi, exams and grading. In addition, the department has approved plans for a new curriculum and undergraduate major. In the College, teaching assignments and enrollments are being reviewed annually to ensure that standard practices are followed.

In recent weeks, several events have occurred that underscore how seriously we take these problems and that demonstrate our laser-like focus in the administration, relevant academic units, and the Department of Athletics on correcting them as quickly as possible.

Both of our governing boards are directly involved. We recently participated in the first meeting of a UNC Board of Governors panel representing the 17-campus University of North Carolina that is reviewing our investigation and response. Our own Board of Trustees is close to retaining a respected outside third-party firm to review and certify the new academic controls. We are cooperating fully with the State Bureau of Investigation's review of possible criminal activity related to how Professor Julius Nyang'oro, who stepped down as department chair last fall and whom separated from the University in June, taught and was paid for a summer school class in 2011. (We have recovered the payment for that course.)

With my support, Faculty Chair Jan Boxill and the Faculty Executive Committee (FEC) appointed a three-member subcommittee to examine the reviews in response to impassioned feedback from concerned faculty. That report was completed last week and is included in this submission. I look forward to working with the subcommittee, the FEC and the Faculty Council on the faculty's recommendations. I already have signaled my own strong support for their proposal to appoint outside academic experts to help examine the appropriate future relationship between academics and athletics at the University. I expect that topic to generate considerable healthy discussion within the University community this fall about the role of intercollegiate athletics.

My administrative colleagues and I, along with UNC President Tom Ross and our governing boards, have devoted significant time and attention to fixing this problem. We will continue to do so until the job is done.

Cheryl D. Cardell, Ph.D.

August 2, 2012

Page 3

At Carolina, we are very proud to be a founding member of SACS. We have valued the relationship we have with you and your colleagues and will cooperate and collaborate fully as you review our report. Please let me know if you need any additional information or have follow-up questions.

Sincerely,



H. Holden Thorp

HHT:bl

Thorp/cardell

JUL 05 2012

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July 2, 2012

Dr. Holden Thorp
Chancellor
The University of North Carolina at Chapel Hill
103 South Building
Campus Box 9100
Chapel Hill, NC 27599-9100

Dear Dr. Thorp:

The Commission's policy, "Standing rules, Commission on Colleges, Executive Council, and the College Delegate Assembly," (available at www.sacscoc.org) stipulates that the Southern Association of Colleges and Schools Commission on Colleges (SASCOC) give appropriate consideration to significant accreditation-related information revealed about an institution between periods of scheduled review. This policy provides that an institution be afforded the opportunity to respond to concerns raised by the review of the unsolicited information.

I am writing you today due to the Commission's receipt of unsolicited information through several sources. The primary source of information came from Dr. Mark Emmert, President of the National Collegiate Athletic Association (NCAA) who sent the Commission on Colleges a copy of its "University of North Carolina, Chapel Hill Public Infractions Report" (dated, March 12, 2012). In addition to various news articles, UNC-Chapel Hill self-disclosed information to the Commission regarding two internal reviews conducted as a result of the NCAA report. The two reviews were "Review of courses in the Department of African and Afro-American Studies, College of Arts and Sciences," and "Independent Study Task Force," dated May 2 and April 10, 2012, respectively. The receipt of unsolicited information regarding academic infractions through these avenues has raised questions regarding the University of North Carolina – Chapel Hill's compliance with the *Principles of Accreditation*. The issues call into question the ability of the institution to monitor and maintain its academic integrity.

In light of these circumstances, and in accordance with the Commission's policy on handling unsolicited information, I am requesting that the institution prepare a report that explains and documents the extent of its compliance with the following standards of the *Principles of Accreditation* as they relate to academic integrity:

- **Comprehensive Standards 3.2.8 (Qualified administrative/academic officers)**
 - Please include in your response those with oversight responsibility for (1) Academic Affairs, (2) Academic Support Services, (3) the College of Arts and Sciences, (4) the Department of African and Afro-American Studies, and (5) the Department of Athletics.
- **Comprehensive Standard 3.2.11 (Control of intercollegiate athletics)**
- **Comprehensive Standard 3.4.5 (Academic policies)**
- **Comprehensive Standard 3.4.9 (Academic support services)**
- **Comprehensive Standard 3.9.2 (Student records)**
- **Federal Requirement 4.9 (Definition of credit hours)**



Dr. Holden Thorp
July 2, 2012
Page Two

Please submit to my office two copies of the institution's response to this letter by no later than **August 2, 2012**.

In accord with Commission policy on the receipt of unsolicited information, the institution's response will be reviewed, and if Commission staff determines that the information is of factual substance and is accreditation related, the information and documentation, along with the institution's response will be forwarded for formal review to the Committees on Compliance and Reports, standing committees of SACSCO Board of Trustees, or it is possible that the President of SACSCOC could authorize a Special Committee to review the institution.

If you have any questions, please feel free to contact me at 404.679.4501, ext. 4529.

Sincerely,

A handwritten signature in cursive script that reads "Cheryl D. Cardell".

Cheryl D. Cardell, Ph.D.
Vice President

cc: Dr. Belle Wheelan, President, SACS Commission on Colleges



THE UNIVERSITY
of NORTH CAROLINA
at CHAPEL HILL

HOLDEN THORP
Chancellor

103 SOUTH BUILDING
CAMPUS BOX 9100
CHAPEL HILL, NC 27599-9100

T 919.962.1365
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July 6, 2012

Cheryl D. Cardell, Ph.D
Vice President
Southern Association of Colleges and Schools
Commission on Colleges
1866 Southern Lane
Decatur, GA 30033-4097

Dear Dr. Cardell:

This letter is to acknowledge receipt of your request for a report from The University of North Carolina at Chapel Hill explaining and documenting our compliance with specifically identified standards of the Principles of Accreditation.

We will provide the requested information by the August 2, 2012 deadline.

Sincerely,

H. Holden Thorp

HHT:es

cc: Dr. Lynn Williford, Assistant Provost for Institutional Research & Assessment

From: Williford, Lynn E
Sent: Friday, May 04, 2012 1:27 PM
To: ccardell@sacscoc.org
Cc: Thorp, H Holden; Carney, Bruce William; Strohm, Leslie Chambers; Williford, Lynn E
Subject: Follow-up information from UNC-Chapel Hill
Attachments: Review of courses.pdf; Independent Study report.pdf

Dear Dr. Cardell,

I am writing to follow-up on our conversation earlier today.

The College of Arts and Sciences at the University of North Carolina at Chapel Hill has just completed two reviews: one involving courses in the Department of African and Afro-American Studies; the other assessing College-wide independent study practices. Copies of both reviews are attached.

Review of Courses in the Department of African and Afro-American Studies: The review of the Department was conducted by Senior Associate Deans Jonathan Hartlyn and Bill Andrews. It uncovered issues with some classes offered by the Department, including:

- Courses taught as if they were independent study, with little or no faculty contact.
- Independent study courses taught with limited faculty contact.
- Unauthorized signatures on grade rolls and grade-change forms.

The problems uncovered in this review appear to be linked to a former department chair and a former department administrator. The department chair stepped down as chair in August 2011, and will retire from his faculty position effective July 1, 2012. Allowing that to happen is in the best interest of the department, the College and the University. The former department administrator retired in 2009. There is no evidence to suggest that any other faculty or staff members were involved in establishing these courses or in the unauthorized recording or changing of student grades, so it's important to them and to the public that we release our findings. Accordingly, the Chancellor has exercised his discretion under state law and authorized the sharing of the report.

As you will see in the report, the Department now has new leadership and has implemented many new policies and procedures.

College-wide Independent Study Policies and Procedures: The review of independent study policies and procedures was led by College Senior Associate Dean Bobbi Owen. That review makes recommendations for consistent policies and practices relative to independent study. Those recommendations have been accepted, and department chairs will begin implementing them in fall 2012.

We have been diligent and thorough in pursuing these matters. We are confident that the findings and recommendations coming out of the review process will make us a better university. Nothing is more important at the University than academic integrity. These reviews reflect the seriousness with which we take academic issues and our commitment to protecting academic integrity.

If you have any questions, we welcome the opportunity to discuss them with you.

Sincerely,

Holden Thorp, Chancellor
Lynn Williford, Assistant Provost for Institutional Research & Assessment
and Accreditation Liaison
The University of North Carolina at Chapel Hill



Contributors to this Report

Office of the Chancellor

Holden Thorp, *Chancellor*

Erin Schuettpelz, *Chief of Staff and Secretary of the University*

Leslie Strohm, *Vice Chancellor and General Counsel*

Office of the Executive Vice Chancellor and Provost

Bruce Carney, *Executive Vice Chancellor and Provost*

Chris Derickson, *Assistant Provost and University Registrar*

Lynn Williford, *Assistant Provost for Institutional Research and Assessment*

College of Arts and Sciences

Karen Gil, *Dean*

Jonathan Hartlyn, *Senior Associate Dean for Social Sciences and Global Programs*

Erika Lindemann, *Associate Dean for Undergraduate Curricula*

Bobbi Owen, *Senior Associate Dean for Undergraduate Education*

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Responses to Specific
SACSCOC Questions
Related to Standards in the
Principles of Accreditation

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Comprehensive Standard 3.4.5 Academic Policies

The institution publishes academic policies that adhere to principles of good educational practice. These are disseminated to students, faculty, and other interested parties through publications that accurately represent the programs and services of the institution.

Previous Special Report Responses to this Standard:

The University's [October 12, 2012 response](#) to the SACSCOC's August 21, 2012 request.

The University's [August 2, 2012 response](#) to the SACSCOC's July 2, 2012 request.

First Monitoring Report Response to this Standard, March 8, 2013

In the January 15, 2013 letter to the University of North Carolina at Chapel Hill's Chancellor Holden Thorp, SACSCOC requested a First Monitoring Report addressing the following referenced standards of the *Principles of Accreditation*:

CS 3.4.5 (Academic policies)

The institution did not provide sufficient documentation to demonstrate that issues related to its review of academic policies have been resolved effectively. The policies and guidelines related to Independent Study Courses and Course Syllabi have not been implemented to ensure the integrity of the institution's academic policies and to comply with the standard.

The institution should provide evidence that it has completed its review, implemented revised policies and guidelines related to Independent Study Courses and Course Syllabi, and ensured the integrity of its academic policies.

Implementation of Policies and Guidelines Related to Independent Study Courses

Independent Study Courses in The College of Arts and Sciences

The implementation of policies concerning Independent Study began when the Administrative Board of the College of Arts and Sciences accepted the [report](#) by the University's Independent Study Task Force on April 17, 2012 and directed that it be implemented. In a [letter](#) dated April 30, 2012, Karen Gil, Dean of the College of Arts and Sciences, accepted the recommendations in the report, and instructed Senior Associate Dean Bobbi Owen to direct that the chairs of all academic units in the College begin implementing the recommendations in the fall. Dean Owen requested that the report be posted to the Office of Undergraduate Curricula's [website](#) and distributed the report via [memo](#) to chairs and directors of undergraduate studies in the College.

On July 11, 2012, Senior Associate Dean Bobbi Owen sent a [memo](#) to the College of Arts and Sciences' chairs and directors of undergraduate study requiring that the following policies and procedures be implemented by November 6, 2012 (when registration for Spring 2013 began) and mandating the following:

3.4.5 Academic Policies

First Monitoring Report

- The use of uniform learning contracts for independent study/research, directed reading, and other such courses;
- A procedure for reviewing and approving these learning contracts;
- The creation of individual sections of a course for each faculty member supervising such a course;
- A restriction on the number of times the same special topics course can be offered to no more than two occurrences; and
- A decision upon which of two formats for honors thesis work best served the needs of the students in their unit.

On September 10, 2012 a [contract template](#) and [information](#) on how to use it was distributed to all units in the College of Arts and Sciences. An [electronic version](#) of the template can also be accessed on the College's Intranet. The contract stipulates the number of hours per week of course work expected from the student, the number of required meetings between instructor and student, reading and writing assignments and due dates, and information specifying how the final grade in the course will be determined. Both the instructor and student must sign the contract as well as an administrator, such as a director of undergraduate studies or the department/curriculum chair (see [attached example](#) from the Department of Sociology). When the chair is the instructor for a course requiring a learning contract, the contract must also be approved by the chair's senior associate dean of the college or school (see [attached example](#) from the Department of Physics and Astronomy). In the case that a senior associate dean is the instructor for a course requiring a learning contract, the dean would approve it.

In addition to documenting the expectations for work in independent study courses via a learning contract, chairs and directors of undergraduate studies were instructed to be ready with this new process when registration for the Spring 2013 term began on November 6, 2012. These preparations included creating individual sections for each faculty member who supervises traditional independent study courses, internships, mentored research, and directed readings. New regulations were implemented for students registering for these types of courses. Students were required to be registered in these courses no later than the last day of "late registration" (the fifth day of the semester); they had to meet regularly with faculty members throughout the term; and no faculty member could assume responsibility for more than two such students during the semester.

To support the recommendations of the report it was necessary to renumber numerous courses so that they would comply with the University's standard numbering system. Between June and mid-August 2012, staff in the Office of Undergraduate Curricula [renumbered over 200 courses](#), in consultation with units in the College of Arts and Sciences. On September 26, 2012, the University Registrar issued the revised [University Policy Memorandum #4, "Standard Course Numbering System,"](#) whose policies are consistent with the recommendations contained in the Independent Study Task Force report.

As a result of these efforts, when registration for the Spring 2013 Semester began on November 6, 2012, no undergraduate student in the College of Arts and Sciences was allowed to register for an independent study, internship, practicum, directed reading, or research course without following the established procedures for enrolling in these courses.

Faculty members in the College of Arts and Sciences are expected, as part of their normal duties, to supervise honors thesis, independent study, directed readings, and/or mentored research courses. Any such courses are in addition to the faculty member's standard course assignments. However, faculty members are restricted to supervising no more than two students participating in independent study during any given term. A few exceptions occur, including the following:

- Formal research methods courses (such as ANTH/FOLK 675 “Ethnographic Method” and LING 422 “Research Methods in Phonetics and Laboratory Phonology”), each of which is taught according to the standard class time format. A syllabus serves as the learning contract for these courses, which traditionally have not been considered to be “independent study.”
- Capstone courses (such as PHIL 698 “Philosophy, Politics, and Economics II: Capstone”) where students working on an individual or group project register for a specific course (generally in their major or minor) taught by a faculty member in the normal course of his/her teaching responsibilities. As with the formal research methods courses, a syllabus serves as the learning contract for these courses, which traditionally have not been considered to be “independent study.”
- Faculty research laboratories, research programs, or established research groups in departments where students are part of a research team. The individual learning contract still applies in these situations.
- In cases in which mentored research is occurring for more than two students outside their department; for example, in the case of three or more students involved in mentored research at the UNC Lineberger Comprehensive Cancer Center. The individual learning contract, however, still applies.
- Directed readings courses, in addition to a faculty member’s standard course responsibilities, for a small number of undergraduate students using the same reading list under the direction of the faculty member. The individual learning contract still applies.

Now that they have been fully implemented, these policies and procedures will continue to be observed by the University.

Compliance Reviews in The College of Arts and Sciences

Two procedures have been put in place to monitor compliance with the recommendations of the [Independent Study Task Force Report](#): 1) a reporting scheme that asks chairs of departments and curricula in the College of Arts and Sciences to verify their unit’s compliance with enrollment caps, learning contracts, and the filing of syllabi related to independent studies; and 2) a post-semester review of enrollments and final grades in courses broadly defined as independent study courses. Also, a [matrix](#) based on the Task Force Report has been developed. In addition to listing the twelve recommendations contained in the report, it identifies the party/parties responsible for implementing them, and documents implementation. All recommendations were implemented by the beginning of the Spring 2013 Semester. The activities described in the matrix will continue to be monitored by University officials.

The [Independent Study Task Force Report](#) was carefully reviewed for gaps and risks as part of two major independent external evaluations that occurred during the past year. On December 20, 2012, former North Carolina Governor James G. Martin and Raina Rose Tagle from Baker Tilly Virchow Krause, LLP (Baker Tilly) presented the results of their independent investigations to the Chancellor and the UNC-Chapel Hill Board of Trustees in two reports. Both reports, [The Academic Anomalies Review Report of Findings \(the Martin Report\)](#) and the [Policies and Procedures Report](#) were commissioned following the academic irregularities discovered in the Department of African and Afro-American Studies. Chancellor Holden Thorp and the Board of Trustees retained Baker Tilly (a national management consulting firm specializing in academic operations, procedures, and controls) to assess the numerous new policies, procedures, and controls that the University implemented to strengthen academics in the Department of African and Afro-American Studies, the College of Arts and Sciences, and the Summer School. In August 2012, Chancellor Thorp also asked former governor James Martin to explore, with no restrictions, any issues raised by the University’s review of courses offered in African and Afro-American Studies. Martin was assisted by Baker Tilly staff members.

3.4.5 Academic Policies

First Monitoring Report

Raina Rose Tagle, a partner and National Practice Leader in Baker Tilly's Higher Education Practice, told the Trustees that the firm reviewed policy and procedure changes drawn from more than seventy recommendations made in four previous internal University reviews (including the Independent Study Task Force Report). Baker Tilly found no gaps in the University's implementation of the new policies and procedures.

[The Policies and Procedures Report](#) begins with a statement of its contents. The Report "outlines the results of your engagement of Baker Tilly Beers & Cutler, PLLC (Baker Tilly) to provide an objective, external assessment of the plans of the University of North Carolina at Chapel Hill (UNC or the University) to implement a number of enhancements to academic policies, processes, procedures, and systems in response to recommendations contained in the [Independent Study Task Force Report](#) dated April 10, 2012, and the [Review of Courses in the Department of African and Afro-American Studies](#), College of Arts and Sciences dated May 2, 2012 (the Hartlyn-Andrews Report)."

The [matrix](#) that accompanied the Policies and Procedures Report closely analyzed potential areas of risk and gaps in the implementation strategies. In the conclusion to the Policies and Procedures Report, Baker Tilly states: "Based on the procedures performed, we did not identify any gaps between the Risks referenced in the Reports and the University's implementation plans. Additionally, we noted no exceptions or inconsistencies in the planned changes to policies and procedures in relation to the assessment criteria."

On the same day that the [Policies and Procedures](#) and [Martin](#) Reports were released, Chancellor Holden Thorp told the Board of Trustees. "We made some mistakes in the past. We were complacent. We didn't ask the hard questions we should have asked. And we didn't live up to our reputation. We have to acknowledge all of these things. And we have to get better. We can't be the world-class university that we are and the economic driver for the state if there are any questions about our integrity." Thorp said that he was not aware of another university opening itself up to an academic review of this scope. "We are embracing these findings, and we are moving forward as a much stronger university. I hope that ultimately we will be judged not only by what happened, but by what we're doing about it."

After receiving the recommendations in the Independent Study Report, units within the College of Arts and Sciences worked closely together to plan for the implementation during Fall 2012. Instructors and chairs were informed about 1) the limit of having no more than two students in each section, and 2) the need to employ learning contracts. All department personnel and instructors contacted expressed a keen interest in understanding how their courses would align with the categories of "independent study" courses and the standard course numbering system. They were also motivated to use learning contracts for research courses and senior honors thesis courses.

A review of enrollments in Spring 2013 was used to verify compliance with the new policies. For example:

Traditional Independent Study Courses

- Enrollments: 33 units are offering traditional independent studies courses, reflecting 116 sections and 261 enrollments in the Spring 2013 Semester.
- Flagged for Review: Out of 116 sections, 19 (16.8%) were flagged for further review for a variety of reasons. For example, one section initially had no listed instructor of record, and eighteen sections had student enrollments over two for a given instructor.
- Resolution: All of the questions have been resolved.

Special Topics Courses

- Enrollments: 30 units are offering special topics courses, reflecting 88 sections and 1,222 enrollments in the Spring 2013 Semester.
- Flagged for Review: Out of 88 sections, seven sections (8.0%) from four departments were flagged for further review. For example, four sections in the Department of Psychology were being used by faculty members in their first year at UNC-Chapel Hill, before permanent course numbers could be assigned.
- Resolution: All the questions have been resolved.

The regular evaluation of course enrollments each semester will allow important year-to-year comparisons and a more refined calibration of departmental courses and course types.

In addition, the Dean of the College, together with the senior associate dean for undergraduate education, requested on February 4, 2013 that every academic unit (departments and curricula) verify their compliance with policies implemented with the Spring 2013 Semester. As a result statements were submitted by all of the 44 academic units in the College of Arts and Sciences, signed by the chair. Each unit certified that ([full report attached](#)):

- A system for approving learning contracts had been created; and
- A method for creating individual sections for each faculty member had been developed and was being used;

Also, each unit committed to limit the number of times the same special topics course would be offered to no more than two occurrences. After being offered twice, a formal request -- including a syllabus -- would be made to obtain a permanent course number, following established procedures by using the Course Request Approval System (CRAS).

Independent Study Courses in The Professional Schools

On September 26, 2012, Executive Vice Chancellor and Provost [wrote to the deans](#) of those professional schools offering undergraduate courses (numbered from 100 to 699). The Provost apprised them of the revised numbering scheme and asked them to review their active undergraduate course offerings and to identify courses that needed to be renumbered, in order to comply with the new course numbering system. Responses from the Schools of Business, Education, Government, Information and Library Science, Journalism and Mass Communication, Social Work, Medicine, Dentistry, Nursing, Public Health, and the College of Arts and Sciences were compiled as "[Progress Reports on Undergraduate Course Renumbering Project](#)" on October 4, 2012.

In addition, the Educational Policy Committee reviewed the [Independent Study Task Force Report](#) in Fall 2012 for possible implementation campus-wide at the request of the Provost, dated July 13, 2012 (and reiterated on July 16, 2012). As a result, the following actions have been taken:

- The chair of the faculty's Educational Policy Committee for 2012-2013, Dr. Theresa Raphael-Grimm, [wrote](#) in September 2012 to those professional schools in the University with undergraduate students. She requested that each school review the report and advise her of any difficulties that might arise from adopting its recommendations.
- On January 15, 2012, Dr. Raphael-Grimm [issued a second e-mail](#), inviting responses to the report no later than February 15, 2013, after which, she stated, she would regard a lack of response as tacit agreement to the adoption of the recommendations.

3.4.5 Academic Policies

First Monitoring Report

- Two schools, Education and Nursing, subsequently raised concerns about the limitation prescribed for practica, which are critical to their students' training. The inclusion of practica within the definition of independent study, they argued, would severely limit crucial clinical placements.
- On February 20, 2013, Provost Carney provided the Educational Policy Committee with a solution: [an exemption for professional schools](#) offering undergraduate degrees from both the limits on counting independent study credit toward graduation and the restriction on the number of students a faculty member may supervise during a semester or summer session in internships/practica. The Educational Policy Committee endorsed this proposal.
- On March 8, 2013, the Faculty Council will consider a [resolution](#) adopting the Independent Study Task Force campus-wide, together with the addendum concerning the exemption of professional schools from the limits on counting independent study credit toward graduation, as well as the restriction on the number of students a faculty member may supervise during a semester or summer session in internships/practica.

Update on the Department of African and Afro-American Studies

In both the [October 12, 2012](#) and [August 2, 2012](#) responses to C.S. 3.4.5 Academic Policies, UNC-Chapel Hill reported that the Department of African and Afro-American Studies adopted a detailed policy with regard to independent study. The most recent version was adopted in [June 2012](#).

Among other requirements, the Department's policy states that only junior- and senior-level department majors with a cumulative grade-point average (GPA) of 3.00 or higher may register for an independent study course; that majors may complete no more than one independent study in the Department; that faculty may supervise a maximum of two students per academic year; that the student and the faculty supervisor must sign a contract (which also requires the review and approval of the chair of the Academic Affairs Committee of the Department); and that certain minimum meeting times and number of assignments are required.

These policies and guidelines in the Department of African and Afro-American Studies have been fully implemented. [Syllabi](#) for *all* courses were submitted to the College of Arts and Sciences when the call for a random sample was made (as discussed above) in early February 2013. The department was also among the first to [document compliance](#) with both independent study and syllabus policies implemented in the Spring 2013 Semester.

There were no registrations for any independent study courses, internships, practica, directed readings, or research courses in the Department of African and Afro-American Studies during Summer Session I 2012, Summer Session II 2012, Fall Semester 2012, or Spring Semester 2013.

Two undergraduate majors in the Department of African and Afro-American Studies undertook to graduate with honors during the 2012-2013 academic years, a process which is accomplished by completing a [senior honors thesis](#). These two students enrolled in an honors course in the fall semester and are now registered for an additional three-hour honors course in the Spring 2013 Semester. The determination of graduation with honors or highest honors will be made by a Department committee once the written thesis is completed and has been defended (no later than April 8, 2013 for May 2013 graduates). Both students exceed the criteria set by the Honors Program of a cumulative 3.2 GPA. One student has a cumulative GPA of and is currently enrolled in AFRI 692H; the other is an AFAM/Political Science double major with a cumulative GPA who is enrolled in AFAM 692H (see the table below).

THE UNIVERSITY OF NORTH CAROLINA AT CHAPEL HILL
3.4.5 Academic Policies
First Monitoring Report

Course Number	Course Title	Instructor	Enrollment
Fall 2012: AFAM 691H-001	HONORS RESEARCH II	HILDEBRAND, REGINALD	1
Spring 2013: AFAM 692H-001	HONORS RESEARCH II		
Fall 2012: AFRI 692H-001	HONORS RESEARCH II	FISHER, REBECCA	1
Spring 2013: AFRI 692H-001	HONORS RESEARCH II		

*Note: Dr. Rebecka Fisher's primary appointment is Assistant Professor in the Department of English and Comparative Literature. Effective July 1, 2012, she became an adjunct assistant professor in the Department of African and Afro-American Studies, as a result of a unanimous vote by the assembled faculty of the Department on March 14, 2011.

As the attached [matrix](#) concerning the implementation of the recommendations in the [Review of Courses in the Department of African and Afro-American Studies \(Hartlyn-Andrews Report\)](#) states: "Subsequent to the department's review of the curriculum, new requirements for the major and minor were submitted to the Administrative Boards of the General College and College of Arts and Sciences, which approved them on Oct. 30, 2012, to be effective with the Fall 2013 Semester. Also approved was a change in the name of the department to the Department of African, African-American, and Diaspora Studies, effective July 1, 2013."

Support for the faculty members in the Department of African and Afro-American Studies and its undergraduate majors and minors has also been reiterated. On September 7, 2012, the Faculty Council adopted [Resolution 2012-9, "On Affirming the Academic Integrity of African and Afro-American Studies."](#) A [statement of support](#) from the Carolina Black Caucus also was read into the minutes of the September 7, 2012, Faculty Council meeting.

Implementation of Policies and Guidelines Related to Course Syllabi

Passing the Policy

At UNC-Chapel Hill, faculty members are required to provide a syllabus to students in every course. Both [The Graduate Record](#) and [The Undergraduate Bulletin](#) include the following statement regarding syllabi: "When students enter into a learning relationship, they have certain needs and expectations. They are entitled to information about course procedures, content, and goals. Instructors should provide a syllabus that describes the course and methods of evaluation. Particular attention should be paid to several areas of special concern to students, including provision of reserve readings and grading policy." This statement, part of a series of "Policies and Guidelines for a Cooperative Learning Environment," was originally approved by the Faculty Council in 1997.

The Educational Policy Committee formed a subcommittee in Fall 2011, chaired by Dr. Suzanne Havala Hobbs, Clinical Associate Professor in the Gillings School of Global Public Health, to establish definitive guidelines for faculty from across the campus to use in designing course syllabi. The subcommittee's report, "On Guidelines for Course Syllabi," was approved by the Educational Policy Committee in summer 2012 and forwarded to the Office of Faculty Governance for action by the Faculty Council.

3.4.5 Academic Policies

First Monitoring Report

[Resolution 2012-11, "On Guidelines for Course Syllabi"](#) appeared on the Faculty Council agenda on October 5, 2012, and was adopted by the Council at that meeting. The [minutes](#) document Faculty Council action.

The Office of the Executive Vice Chancellor and Provost subsequently distributed "[Guidelines for Course Syllabi](#)" to all deans at the Dean's Council meeting on November 1, 2012.

Implementing the Policy

All academic units in the University have implemented the course syllabus guidelines. As evidence that syllabi for all Spring 2013 courses were provided to students no later than the first day of class, Provost Carney [asked for verification](#) of compliance on February 1, 2013 and received responses from all the professional schools. (See [attached table](#) with links to all replies.) Once all units indicated compliance, a randomized sample of syllabi was developed by the Office of Institutional Research and Assessment, and the Provost [requested](#) on February 19, 2013, that these syllabi be forwarded to the Assistant Provost for Institutional Research and Assessment by February 25 (see the [attached table](#) for a compilation of the responses).

The College of Arts and Sciences, which also implemented the course syllabi guidelines, mirrored this process to verify that current syllabi for all Spring 2013 courses were provided to students no later than the first day of class. The Assistant Provost for Institutional Research and Assessment developed a random sample of 404 syllabi, which were collected in early February 2013. (See [attached table](#) containing links to all requested syllabi for the College of Arts and Sciences and all other schools.)

Syllabi Retention

Units have at least three options for meeting the University's four-year records retention requirement for course syllabi. They can retain hard copies (for example, the Department of Dramatic Art stores its syllabi in a designated storage area in the Center for Dramatic Art), create a website (as the School of Journalism and Mass Communication does) as a medium-term repository for digital storage, or use the Sakai software system for retention electronically (as the School of Education does). Sakai, the University's course management system, is used by course instructors to interact with the students in their classes and to provide materials and feedback about assignments. It is also used on campus for committee work and as a document repository, making it useful for the purpose of syllabus retention. The [Sakai retention policy](#) is four years from the end of the semester when the course was taught.

All units in the College of Arts and Sciences have verified that they have implemented a method (whether electronically or in hard copy) to retain their syllabi for at least four years. Physical and/or Web-based locations were identified by each unit. In addition, the same request, dated February 4, 2013, solicited statements from every College unit that they were in compliance with independent studies policies. (See [attached table](#) with links to the signed reports from each unit.)

Ensuring the Integrity of Academic Policies at UNC-Chapel Hill

In the context of academic policies, integrity means that the policies are responsibly established, comprehensive, adhere to best practices, are reviewed and updated when necessary, and are monitored so that they cannot be corrupted or circumvented. It is necessary to remain vigilant about how policies are used and interpreted, as well as to develop new policies and communicate them effectively.

The University of North Carolina at Chapel Hill ensures the integrity of its academic policies by continuing to exercise democratic procedures for establishing them, following the principles of self-governance which have been in place at UNC-Chapel Hill for more than 200 years. The University publishes (in print and online) academic policies in relevant documents, including the *Undergraduate Bulletin* and *The Graduate Record*, and disseminates them through meetings, websites, and e-mail communications to appropriate audiences. The responsibility for administering policies and procedures consistently and equitably, reviewing and updating them periodically, and monitoring them on a regular basis is assigned to responsible individuals and administrative units. These last activities, reviewing and monitoring, has perhaps seen the greatest changes in recent years. The increasing presence and utility of electronic means for ensuring compliance with academic policies have greatly assisted faculty members and administrators in overseeing their areas of responsibility.

Sophisticated hardware and software provide even more accountability, more security, and additional consistency to the administration and monitoring of academic processes than paper-based processes can provide. New technologies have also facilitated managing, storing, retrieving, and comparing records. Records retention is easier and less expensive (lessening the need for physical storage space), making it easier to retrieve documents of enduring value and importance and also enhancing accountability.

At the University of North Carolina at Chapel Hill, the only authorized access to electronic class rosters and grade rolls is the instructor, who can in turn authorize access to graduate teaching assistants and scheduling officers on the unit's staff, as proxies, by following established procedures including passing – with 100% accuracy -- a test about FERPA (Family Educational Rights and Privacy Act). Paper-based official grade-change forms will officially be replaced on March 15, 2013 with an electronic submissions process that requires a series of authorizations, which are then routed to appropriate University officials, leaving an audit trail behind.

Requests by faculty members to establish new courses are submitted through an electronic routing system to ensure that they have been vetted by appropriate administrators, who certify that the course information and attributes are correct. Over the past two years the complex requirements for all majors and minors in the College of Arts and Sciences have been programmed into UNC-Chapel Hill's degree-audit system, Tar Heel Tracker, which is intended to make the paper-based worksheets and folder system on which graduation audits have traditionally depended unnecessary. Once this initiative has been fully implemented in the College of Arts and Sciences, the function will be made available to all the professional and graduate degree programs.

ConnectCarolina, the student record and registration system at the University of North Carolina at Chapel Hill, also provides better information to students about course-load minimums and maximums, course prerequisites, course repeat rules, and other academic policies. Between 1982 and 2010, the Student Information System (SIS) did not provide that information, or prevent students from registering for inappropriate courses.

While the *Undergraduate Bulletin* has been revised annually since the 1920s, degree requirements and course content changes more quickly than just once a year. Having the requirements for a particular major reside in the head of one academic advisor or faculty member in each department is less than optimal. With the degree-audit system in place, degree requirements can be shared, via Tar Heel Tracker, with the student, the student's advisor, everyone in the graduation division (where degree requirements are verified), and anyone who is authorized to see that student's Tar Heel Tracker. If Tar Heel Tracker doesn't allow a certain course to fulfill a certain requirement, an adjustment is certainly possible for that student, but even the exception becomes part of the electronic record and can be verified if questioned. In other words, more (authorized) eyes are watching.

Technology alone cannot solve all problems. Making legitimate exceptions to policies and procedures will always require wise interventions on the part of responsible human beings. However, technology allows for academic procedures to be exposed to more individuals, who can report anomalies so that mistakes

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(or violations of policy) can be corrected as quickly as possible. The greater the ability for faculty and staff members and students to say that something seems inappropriate, the sooner inconsistencies and irregularities can be addressed and resolved. (Note that access to private data is available only on a need-to-know basis.)

The University of North Carolina at Chapel Hill has made extensive efforts to address academic irregularities discovered in 2010 during the joint NCAA and University investigations of the football program. Four internal reports, including an internal review of the Department of African and Afro-American Studies, produced at least 72 recommendations and the implementation of numerous new policies and procedures to strengthen academics in the University. External and independent reviews were conducted by former North Carolina Governor [James G. Martin](#) with assistance from Baker Tilly Virchow Krause, a national management consulting firm with extensive experience in academic operations procedures and controls. Chancellor Thorp asked Martin and Baker Tilly to explore any and all issues as they saw fit, with no restrictions. Baker Tilly's analysis was intended to assess risk and help prevent future irregularities. Baker Tilly also reviewed the many new academic performance [policies, procedures](#), and controls that the University put in place as a result of a series of internal reviews.

The [UNC Board of Governors Academic Review Panel](#), charged with assessing the University's investigative work and its response to the academic irregularities, has also concluded its own investigation, indicating that it was satisfied that the University had adequately addressed academic problems uncovered during investigations into some African and Afro-American Studies courses. The five-member panel, which UNC President Thomas Ross commissioned to review the University's response to the academic issues, affirmed the findings and actions stemming from the previous internal and external reviews that examined the scope of the problems.

These external investigations, which concluded that the University has new controls in place to prevent future academic misconduct of the type discovered on the part of **one** faculty member and **one** staff member in the Department of African and Afro-American Studies, give the University of North Carolina at Chapel Hill a new path forward. The integrity of an institution and of its academic policies rests with each member of the faculty and the administration, as well as with the students. Every member of the University community has the responsibility to report anomalies, and everyone shares in the failure when that doesn't occur.

As useful as the external reviews have been, the most important reviews are the ones conducted within the University. External reviews reflect a point-in-time analysis; internal ones continue to be followed.

References

[Comprehensive Standard 3.4.5 \(Academic Policies\), October 12, 2012 Response](#)

[Comprehensive Standard 3.4.5 \(Academic Policies\), August 2, 2012 Response](#)

[Independent Study Task Force Report, April 10, 2012](#)

[Letter from Dean Gil, Regarding Acceptance of Report Recommendations, April 30, 2012](#)

[The Office of Undergraduate Curricula Website](#)

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[Memo from Senior Associate Dean Owen to Chairs and Directors of Undergraduate Study, Regarding the Independent Study Task Force Report, April 23, 2012](#)

[Memo from Senior Associate Dean Owen to Chairs and Directors of Undergraduate Study, Regarding Implementing the Recommendations of the Independent Study Task Force Report, July 11, 2012](#)

[College of Arts and Sciences Independent Study Form](#)

[College of Arts and Sciences Memo Concerning Learning Contracts, September 2012](#)

[Electronic Access to the College of Arts and Sciences Independent Study Form](#)

[Example of Learning Contract, Sociology 396](#)

[Example of Learning Contract, Physics 395](#)

[College of Arts and Sciences Renumbered Courses](#)

[University Policy Memorandum #4, "Standard Course Numbering System"](#)

[Matrix of Independent Study Report Recommendations and Implementations](#)

[The University of North Carolina at Chapel Hill Academic Anomalies Review Report of Findings, December 19, 2012](#)

[Baker Tilly's Policies and Procedures Report, December 19, 2012](#)

[Review of Courses in the Department of African and Afro-American Studies, May 2, 2012](#)

[Baker Tilly's Risk Matrix](#)

[Report of College of Arts and Sciences' Compliance with Independent Study Requirements](#)

[Memo from Provost Carney to Professional School Deans, Regarding Course Renumbering, September 26, 2012](#)

[Progress Reports on Undergraduate Course Renumbering Project, October 4, 2012](#)

[Educational Policy Committee E-mails Regarding Campus-wide Implementation of Independent Study Recommendations, September 2012 and January 2013](#)

[Special Circumstances Pertaining to Professional Schools](#)

[Resolution 2013-6. On Campus-wide Implementation of the Recommendations of the 2012 Independent Study Task Force \(pending approval\)](#)

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["Contract for Independent Studies," Department of African and Afro-American Studies, June 2012](#)

[Syllabi for all Courses in the Department of African and Afro-American Studies, Spring 2013](#)

[Course Syllabi and Independent Study Contracts Compliance Verification Form, Department of African and Afro-American Studies](#)

[Senior Honors Thesis Requirements](#)

[AFAM 691H Fall 2012 Prospectus and Schedule](#)

[AFRI 691H Fall 2012 Prospectus and Schedule](#)

[Resolution 2012-9. On Affirming the Academic Integrity of African and Afro-American Studies](#)

[Carolina Black Caucus Statement of Support for the Department of African and Afro-American Studies](#)

[*The Graduate Record*](#)

[*The Undergraduate Bulletin*](#)

[Resolution 2012-11. On Guidelines for Course Syllabi](#)

[Faculty Council Meeting Minutes, October 5, 2012](#)

[Memo from Provost Carney to Deans, Regarding Course Syllabi for Undergraduate and Graduate Courses, February 1, 2013](#)

[Replies from All Schools Regarding Compliance with Syllabi Compliance and Audit](#)

[Memo from Provost Carney to Deans, Regarding Course Syllabi, February 19, 2013](#)

[All Syllabi Provided During Audit](#)

[Sakai Notification of Retention Policy](#)

[The Report of the UNC Board of Governors Academic Review Panel, February 7, 2013](#)

Response for Comprehensive Standard 3.4.5 Academic Policies

SACSCOC requested additional details and documentation from the University of North Carolina at Chapel Hill specifically related to the following:

- *“Update on the compliance progress regarding the October 2011 revised policy for Independent study courses within the Department of African and Afro-American Studies.*
- *Update on the Educational Policy Committee Syllabus guidelines proposed policy action.”*

Update on the Compliance Progress Regarding Revised Policy for Independent Study Courses

The Department of African and Afro-American Studies

In the [August 2, 2012 response to C.S. 3.4.5 Academic Policies](#), UNC-Chapel Hill reported that the Department of African and Afro-American Studies adopted a detailed policy with regard to independent study courses in October 2011. The Department subsequently updated the policy in [December 2011](#) and again in [June 2012](#). Among other requirements, the policy states that: only junior- and senior-level department majors with a cumulative GPA of 3.00 or higher may register for an independent study course; that faculty may supervise a maximum of two students per academic year; that the student and the faculty supervisor must sign a contract (which also requires the review and approval of the chair of the Academic Affairs Committee of the Department); and that certain minimum meeting times and assignments are required.

There were no registrations for any independent study courses, internships, practica, directed readings, or research courses in the Department of African and Afro-American Studies during Summer Session I 2012, Summer Session II 2012, or Fall Semester 2012. Two undergraduate majors in the Department of African and Afro-American Studies are pursuing graduation with honors during the 2012-2013 academic year which is accomplished by completing a [senior honors thesis](#). These two students are enrolled in an honors course in the fall semester, and provided that the Director of the Honors Program in the Department and the thesis director agree that these students have made satisfactory progress, they will register for an additional three-hour honors course in the Spring 2013 semester. The determination of graduation with honors or highest honors will be made by a Department committee once the written thesis is completed and has been defended (no later than April 8, 2013 for May 2013 graduates). Both students exceed the criteria set by the [Honors Program](#) of a cumulative 3.2 GPA. One student has a cumulative GPA of _____ and is currently enrolled in AFRI 691H; the other is an AFAM/Political Science double major with a _____ cumulative GPA who is enrolled in AFAM 691H (see the table below).

Fall 2012	Course Number	Course Title	Instructor	Enrollment
African and Afro-American Studies	AFAM 691H-001	HONORS RESEARCH I	HILDEBRAND, REGINALD	1
African and Afro-American Studies	AFRI 691H-001	HONORS RESEARCH I	FISHER, REBECCA*	1

*Note: Dr. Rebecka Fisher’s primary appointment is Assistant Professor in the Department of English and Comparative Literature. Effective July 1, 2012, she became an adjunct assistant professor in the Department of African and Afro-American Studies, as a result of a unanimous vote by the assembled faculty of the Department on March 14, 2011.

The College of Arts and Sciences

When registration for the Spring 2013 semester begins on November 5, 2012, no undergraduate students in the College of Arts and Sciences will be allowed to register for an independent study, internship, practicum, directed reading, or research course without following the established procedures for enrolling in these courses. On September 10, 2012, a [contract template](#) and [information](#) about using it was distributed to all units in the College of Arts and Sciences. An [electronic version](#) of the template can also be accessed on the College's Intranet. This procedure will be used in all future semesters; a Web-based form (including an approval process available electronically) is planned for development in the near future.

Update on Syllabus Guidelines

At UNC-Chapel Hill, faculty members are required to provide a syllabus to students in every course. Both [The Graduate Record](#) and [The Undergraduate Bulletin](#) include the following statement regarding syllabi: "When students enter into a learning relationship, they have certain needs and expectations. They are entitled to information about course procedures, content, and goals. Instructors should provide a syllabus that describes the course and methods of evaluation. Particular attention should be paid to several areas of special concern to students, including provision of reserve readings and grading policy."

The Administrative Boards of the General College and the College of Arts and Sciences [met on September 18, 2012](#) and approved the "[Statement on the Content of a Course Syllabus.](#)" The [minutes](#) report that discussion centered on how "student learning outcomes" could be consistently determined. The [members](#) decided that each unit (department or curriculum) should make that determination but that a statement needed to be included. The "Statement on the Content of a Course Syllabus" elaborates on the brief information contained in [The Graduate Record](#) and [The Undergraduate Bulletin](#), offers suggestions on syllabus content, and urges that faculty provide the syllabus on the first day of class.

The UNC-Chapel Hill Faculty Council met for the first time in the 2012-2013 academic year on September 7, 2012. Because of an unusually full [agenda](#), the new policy resolution specifying minimum requirements for a syllabus was deferred until the next meeting of the Council, on October 5, 2012.

[Resolution 2012-11](#), "On Guidelines for Course Syllabi," appeared on the [agenda](#) and passed at that meeting. The Office of the Executive Vice Chancellor and Provost will distribute Guidelines for Course Syllabi to all Deans. Minutes documenting Faculty Council resolutions are generally available within one month (<http://faccoun.unc.edu/faculty-council/meeting-materials-2012-13/october-5-2012/>).

References

[Comprehensive Standard 3.4.5 \(Academic Policies\), August 2, 2012 Response](#)

["Contract for Independent Studies," Department of African and Afro-American Studies, December 2011](#)

["Contract for Independent Studies," Department of African and Afro-American Studies, June 2012](#)

[Senior Honors Thesis Requirements](#)

[AFAM 691H Fall 2012 Prospectus and Schedule](#)

[AFRI 691H Fall 2012 Prospectus and Schedule](#)

[College of Arts and Sciences Independent Study Form](#)

[College of Arts and Sciences Memo Concerning Learning Contracts, September 2012](#)

[Electronic Access to the College of Arts and Sciences Independent Study Form](#)

[*The Graduate Record*](#)

[*The Undergraduate Bulletin*](#)

[Agenda of the General College and the College of Arts and Sciences Administrative Boards, September 18, 2012](#)

[Statement on the Content of a Course Syllabus, General College and the College of Arts and Sciences Administrative Boards, September 18, 2012](#)

[Minutes of the General College and the College of Arts and Sciences Administrative Boards, September 18, 2012](#)

[Members of the General College and the College of Arts and Sciences Administrative Boards, 2012-2013](#)

[Agenda for Faculty Council Meeting, September 7, 2012](#)

[Resolution 2012-11: On Guidelines for Course Syllabi](#)

[Agenda for Faculty Council Meeting, October 5, 2012](#)

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Comprehensive Standard 3.4.5 Academic Policies

The institution publishes academic policies that adhere to principles of good educational practice. These are disseminated to students, faculty, and other interested parties through publications that accurately represent the programs and services of the institution.

Compliance

The University of North Carolina at Chapel Hill is in compliance with this standard.

Explanation

The University of North Carolina at Chapel Hill maintains academic policies and procedures that reflect the institution's commitment to academic best practices at all levels. The University publishes these policies and procedures in its catalogs and other publicly available documents and posts them on the Internet. The publications and websites that display the policies are reviewed on a regular basis to ensure that they accurately represent UNC-Chapel Hill's current programs and services.

The University ensures that faculty members are involved in the development, approval, and oversight of academic policies and regulations at all levels and especially in the College of Arts and Sciences. Faculty also serve on the College's Administrative Boards, the College's Curriculum Committee, and the various review committees and task forces that periodically monitor the undergraduate curriculum to ensure that it adheres to sound educational principles and best practices. These principles and practices are published in catalogs, memos, reports, on websites, and in other publicly available documents. When the University's academic policies appear to have been violated, faculty members, including those who serve as administrators, respond promptly, investigate infractions deliberately and with respect for due process, and move as quickly as possible to strengthen and improve the ways in which the institution conducts the educational enterprise. The goal of this work is, first and foremost, to continue to ensure an outstanding education for Carolina's students.

The University of North Carolina at Chapel Hill's academic policies originate from a variety of sources, including the standards, statements, and procedures adopted by the University of North Carolina Board of Governors and the UNC-Chapel Hill Board of Trustees. The [Faculty Code of University Government \(Article 2.2-8\)](#) specifies that UNC-Chapel Hill's Faculty Council will exercise the legislative powers of the General Faculty to determine the educational policies of the institution and the rules and regulations under which administrators and faculty will conduct the educational activities of the University. Administrative boards for each professional school, the College of Arts and Sciences, and the General College (the administrative home for first- and second-year undergraduate students within the College of Arts and Sciences and responsible for their oversight) also participate in establishing academic policies at the college and school levels in accordance with the [Faculty Code \(Article 6.3-4\)](#). Although academic policies are established, published, and monitored by professional schools, The Graduate School, and other UNC-Chapel Hill academic organizations, the focus of this section is on the College of Arts and Sciences.

For the purposes of the Summer 2012 response, this document does not contain a comprehensive examination of institution-wide academic policies, as would be included in a decennial review. The following sections are more narrowly focused and provided to:

3.4.5 Academic Policies

August Response to SACSCOC

- Outline the function of the Administrative Boards of the College of Arts and Sciences and the General College in establishing academic policies for the College of Arts and Sciences;
- Describe actions taken by the Department of African and Afro-American Studies in response to finding of the "[Review of Courses in the Department of African and Afro-American Studies, College of Arts and Sciences](#)" (May 2, 2012). This review was launched in early September 2011 by the Dean of the College of Arts and Sciences and prepared by Senior Associate Deans Jonathan Hartlyn and William L. Andrews.
- Describe actions taken by the Dean of Summer School in response to the "[Review of courses in the Department of African and Afro-American Studies, College of Arts and Sciences](#)" (May 2, 2012);
- Focus on relevant changes in the General Education curriculum to better educate undergraduate students about academic integrity, specifically in using sources responsibly and documenting them in ways appropriate to diverse disciplines; and
- Report on the [findings of the Independent Study Task Force](#) and steps taken to implement its recommendations. A Task Force was created in September 2011 at the request of the Dean of the College of Arts and Sciences; it was led by Senior Associate Dean for Undergraduate Education Bobbi Owen.

1. Administrative Boards of the College of Arts and Sciences and the General College

For the College of Arts and Sciences and the General College, most academic policies originate with or must be approved by the Administrative Boards of the College of Arts and Sciences and the General College respectively, consistent with the [Faculty Code of University Government](#). [Members](#) of these Boards are appointed by the Chancellor upon recommendation of the Dean of the College of Arts and Sciences, who chairs both Boards. All members hold tenure in the University, serve three-year staggered terms, and are informed of their [responsibilities](#) on appointment. Each board includes representation from those professional schools with undergraduate degree programs. The Director of Undergraduate Admissions and the University Registrar may attend the meetings of the Administrative Boards in an *ex officio*, non-voting capacity.

Meeting three times a semester, the Administrative Board of the General College and the Administrative Board of the College of Arts and Sciences convene together and work in concert. Their duties (per the *Faculty Code*) include the following:

- To formulate, together with the Dean, educational policies;
- To advise the Dean in handling administrative matters;
- To review and approve new programs and curricula;
- To examine and approve all new courses proposed to the particular school or college; and
- To perform such other duties as may be delegated to them.

In addition to reviewing and approving new undergraduate degree programs, majors and minors, and revisions to existing programs, the Boards approve all new courses, study abroad programs, and academic policies affecting undergraduate programs under their jurisdiction.

The proceedings of the Boards are published in [minutes](#) available to the public. Academic policies approved by the Boards are published in the [Undergraduate Bulletin](#) (both Web and print versions, revised annually), in the [Chair's Manual](#) (revised annually), and -- depending on the policy -- on the websites of the Office of Undergraduate Education, the Office of Undergraduate Curricula, and the Academic Advising Program. They are distributed by e-mail at least once a semester to deans, directors, chairs, and directors of undergraduate studies. They are often on the agenda of monthly meetings of chairs, the annual [chair's retreat](#), once-a-

semester [workshops](#) for directors of undergraduate studies, periodic [meetings of student services managers](#), and the annual orientation for new faculty ([2011](#), [2012](#)).

All members of the Boards also serve on one of two subcommittees: the Subcommittee on Appeals and the Curriculum Committee. The Subcommittee on Appeals makes decisions concerning appeals for academic actions (e.g., course drops or semester withdrawals) and appeals for eligibility from students on academic probation who are requesting to return to the University.

Course Approval Procedures

The Curriculum Committee includes members of the Boards, students, and elected vice-chairs for each of the four divisions of the College: science and mathematics, humanities, fine arts, and social sciences. Representatives from The Graduate School and the Office of the University Registrar also serve on the Committee, which is chaired by the Associate Dean for Undergraduate Curricula. Meeting monthly, the Committee assesses and recommends to the entire Board whether or not courses satisfy particular requirements within the General Education curriculum. Concerned principally with courses offered in the College that enroll only undergraduate students (numbered 50-399) or that enroll both undergraduate and graduate students (numbered 400-699), the Committee reviews all new courses, revisions to existing courses, and requests to inactivate (or “retire”) courses. The Curriculum Committee also may advise the Boards on other curricular matters.

[Course requests](#) typically originate in departments/curricula, which follow various internal procedures for approving them. All courses must be approved electronically by a departmental “approver,” a faculty member who assumes responsibility for verifying that appropriate procedures have been followed and that the course information is correct. Courses are then routed electronically to the Office of Undergraduate Curricula for preliminary review before they are forwarded to Curriculum Committee members.

The Curriculum Committee’s deliberations concerning the integrity of the curriculum regarding its General Education requirements and course offerings are guided by “[Criteria for General Education Requirements: Guidelines for the Submission and Review of Course Proposals](#),” a policy document approved by the Boards. In addition to providing principles concerning courses that satisfy General Education requirements, it also prescribes some minimum expectations for undergraduate instruction. All undergraduate courses, for example, must include a final assessment (usually a traditional final examination), and courses fulfilling General Education requirements must require of every student at least ten pages (3,000 words) of writing or equivalent intellectual effort over the course of a semester.

Committee members base their assessment of each course on a careful reading of the course syllabus -- the same evidence that students receive concerning an instructor’s expectations for the course. Though syllabi are not currently required to reference compliance with the [Honor Code](#), most instructors do include such information in each syllabus. Courses that have been approved by the Curriculum Committee are forwarded to the full Boards for a second approval. They are then routed electronically to the Office of the University Registrar, which grants final approval and uploads them to the University’s electronic course catalog.

The goal of these procedures is to ensure that *all* courses offered in the College of Arts and Sciences receive thorough peer review; reflect rigorous standards of academic excellence; are pedagogically sound; and present to students expectations about their work in thoughtfully constructed documents that are clear and comprehensive. The process also promotes compliance with federal credit-hour requirements, approved by the

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August Response to SACSCOC

Faculty Council as [Resolution 2012-1](#) in February 2012. This is discussed in greater detail later in this report (see [Federal Requirement 4.9 "Definition of Credit Hours"](#)).

Monitoring Approved Courses

UNC-Chapel Hill monitors its undergraduate courses in several ways to ensure that the original goals, content, and course requirements are upheld. Student evaluations are required of all faculty members, and student learning outcomes assessments are required annually in all units. Approved changes to courses and curricula (as recorded in minutes of Administrative Boards' meetings) also are updated in the degree-audit system ([Tar Heel Tracker](#)), in working files for the next edition of the *Undergraduate Bulletin*, and in the annual revision of [worksheets](#) describing requirements for majors and minors in the College. These activities involve the Academic Advising Program, the Office of the University Registrar, and the Office of Undergraduate Curricula and establish a regular means of triple-checking course and degree requirements to make sure that they are current and accurate. As proposals to add General Education designations to existing courses are reviewed, the Curriculum Committee assesses each course syllabus a second time to determine if it meets the appropriate criteria.

The Associate Dean for Undergraduate Curricula also reviews the syllabus for every new (or substantially revised) online course offered through Carolina Courses Online (CCO) to ensure that it is comparable to its on-campus counterpart; that it has a final assessment; and if applicable, meets faculty-established criteria for fulfilling General Education requirements. CCO courses and their instructors also must be approved by the department/curriculum chair responsible for courses offered under the unit's subject code.

Apart from this customary monitoring, both courses and curricula undergo review from time to time in conjunction with projects that may have a different primary objective. Such incidental monitoring has taken place, for example, in developing Tar Heel Tracker, the degree-audit and advising tool for students who entered UNC-Chapel Hill in 2009 or later. Building Tar Heel Tracker offered a unique opportunity for collaboration between the Office of Undergraduate Curricula, the Academic Advising Program, the Office of the University Registrar, and faculty in the College's departments and curricula. Determining what the requirements were for every degree program and all majors and minors offered in the College necessitated careful review and precise statements of current requirements.

Two additional examples of projects involving the monitoring of courses are discussed below. The substantial review of the undergraduate curriculum in 2010, for example, included the assessment of approximately 140 courses to determine whether they continued to meet the criteria for the General Education designations originally assigned. In addition, the work of the 2011 Independent Study Task Force has prompted the review of all courses offered in the College with respect to whether or not their numbers align with the University's Standard Course Numbering System.

2. Department of African and Afro-American Studies Review

Circumstances Prompting the Review

In July 2011 the University and the College of Arts and Sciences learned of academic irregularities in some courses listing Professor Julius Nyang'oro, then chair of the Department of African and Afro-American Studies, as the instructor of record. On August 30, 2011, the Dean of the College of Arts and Sciences accepted

Professor Nyang'oro's resignation as Department chair. Also, during the first week of September the Dean launched two reviews: one of all courses in the Department of African and Afro-American Studies, and a second, College-wide review of independent study practices. At the same time the Dean also appointed an experienced chair to lead the Department on an interim basis: Dr. Evelyne Huber, Morehead Alumni Distinguished Professor and Chair of the Department of Political Science since 2006).

The findings were also reported to the NCAA, the UNC-Chapel Hill Department of Public Safety, twice to the State Bureau of Investigation, and to the University's Board of Trustees.

The resulting "[Review of Courses in the Department of African and Afro-American Studies](#), College of Arts and Sciences," prepared by Senior Associate Deans Jonathan Hartlyn and William L. Andrews, was completed on May 2, 2012, and distributed to all faculty in the College by the Dean on May 4, 2012.

Changes Implemented since the Review

Under its new leadership, the Department has instituted a significant number of policy initiatives. To clarify and reaffirm University policies, a memorandum was sent to department faculty on October 10, 2011, with regard to policies on [examinations and grading](#). Rules regarding [absences from class and make-up examinations](#) were emailed to instructors on October 12, 2011, and instructions for the structuring of [course syllabi](#) were provided to department faculty on December 2, 2011.

The Department also adopted a detailed [policy with regard to independent study](#) courses, which was approved in October 2011 and subsequently revised in summer 2012. Among other requirements, the new policy states that only junior- and senior-level department majors with a GPA of 3.00 or higher may register for an independent study course; that faculty may supervise a maximum of two students per academic year; that the student and the faculty supervisor must sign a contract, which also requires the review and approval of the chair of the Academic Affairs Committee of the Department; and that certain minimum meeting times and assignments are required. The Department will also ensure that it is complying by November 2012 with recommendations from the College's Independent Study Task Force.

In Spring 2012, with Professor Sahle as its new chair, the Department introduced a new departmental governance and administrative structure, including a provision for an Executive Committee advisory to the chair. Professor Sahle appointed Professor Walter Rucker as associate chair and Professor Kenneth Janken as both director of undergraduate studies and summer school administrator. (For a list of members of the Executive Committee, see the [departmental organizational chart](#). The curriculum vitae of the Department's administrative leaders and executive committee members are also included with this report.)

In Spring 2012, departmental faculty also approved a substantially [revised undergraduate major](#) that more effectively links African studies and Afro-American studies. Among other courses, the ten-course major will require a common core of courses in both African and African-American studies (changing Afro-American to African-American to reflect current terminology), a course that focuses on African Diaspora writers and thinkers, and a research-intensive course in either African or African-American studies. As a reflection of this more unified set of requirements, faculty members in the department have voted to rename their unit the Department of African, African-American, and Diaspora Studies. The proposal for the new major, several related new courses, and the departmental name change will be considered by the Administrative Boards of the College in early Fall 2012. If approved, the name change will take effect on July 1, 2013, and the new requirements will apply to students who declare the major in Fall 2013. Current majors will be permitted to elect the new requirements if they choose, or remain under the requirements in place when they declared the major. In

preparation for these changes, all AFAM and AFRI courses have been reorganized and [renumbered](#) under a new subject code: AAAD.

3. Summer School

The "[Review of Courses in the Department of African and Afro-American Studies, College of Arts and Sciences](#)" found that the overwhelming majority of irregularities in the conduct of some independent study courses (as well as the unauthorized signatures on several grade forms) took place prior to the Fall 2009 semester and principally involved summer courses. Consequently, in December 2011 the Provost, together with the Dean of the College of Arts and Sciences, requested that the Dean of Summer School investigate the oversight of faculty teaching loads in summer courses.

[Summer School](#) provides the infrastructure for units within Academic Affairs, the College of Arts and Sciences, and six professional schools: the Kenan-Flagler School of Business, the School of Education, the School of Journalism and Mass Communication, the School of Information and Library Science, the School of Law, and the School of Social Work. These units offer courses across two sessions in the summer. The chair or dean of each unit nominates a faculty member to serve as Summer School administrator for the unit. The Summer School administrator determines, for his or her unit, which courses will be taught each summer and, in the College of Arts and Sciences, nominates the full-time faculty members, graduate students, or visiting faculty who will teach those courses. Based on the nominations from each unit, the Dean of Summer School issues a contract for the specific assignment and oversees the payment of the instructor. Any visiting faculty must meet the academic requirements established by the College or the school; each of these individuals is vetted within the particular unit. Summer School advises visiting students (about 600 per summer), whereas UNC-Chapel Hill students consult with their previously assigned academic advisers on campus.

Registrars in each unit schedule summer courses by mid-December for the following summer term. After February 1, any changes to these courses must be approved by Summer School. Registrars in each unit can change the faculty member assigned to teach the course or revise a room assignment, but Summer School must authorize any changes related to establishing, canceling, or changing meeting times for any course.

Problems Identified

In addition to pursuing the charge to investigate the oversight of faculty teaching loads in Summer School (Item 1 below), the Dean of Summer School elected to examine additional relevant administrative procedures (Items 2 thru 4 below). Among her findings were the following:

1. Lack of oversight in faculty teaching loads in summer. No clear guidelines existed for summer on how many independent studies, directed readings, or similar courses a faculty member could take on in addition to teaching other courses in summer. Faculty can be paid to teach a maximum of two courses in summer through Summer School, provided that the courses meet established enrollment goals. In addition, some faculty are responsible for additional students (without pay), such as supervising the preparation of theses or dissertations and mentoring undergraduate students participating in research and/or internships, which are scheduled through departmental or school registrars.
2. A need for clarity in the language of Summer School contract letters, so that instructors nominated to teach in summer absolutely understand the expectations for teaching face-to-face courses.
3. A troubling number of Summer School courses assigned to "staff," with no designated instructor.

4. Lack of clarity on the part of Summer School administrators within each unit as to the extent of their duties. These administrators, who are nominated by the unit's chair or dean, are responsible for determining which courses will be taught and who will teach them.

Solutions Enacted

1. In response to a finding of uneven oversight of faculty teaching loads, Summer School enacted three changes.

First, it adopted the policies recommended by the College of Arts and Sciences in regard to independent studies: limiting to two the number of students in a section of independent study, and restricting to one section the number of independent study courses a faculty member can oversee in summer. Separate "sections" must be created for each faculty member in a department/curriculum who supervises independent studies, internships, mentored research, directed readings, or similar courses in order to facilitate better record-keeping.

Second, Summer School generally updates its *Policies and Procedures Manual* in September for departmental managers and Summer School administrators to use in planning (which begins in October for the following summer). In this case, however, the *Manual* was updated immediately and [revised pages](#) were sent to Summer School administrators and administrative managers in February 2012, after review by the Dean of the College and the Provost.

Third, throughout summer 2012, the Dean of Summer School has reviewed all courses taught in summer in Academic Affairs by means of the [course registration summary data](#) provided by the Office of the University Registrar. The review has focused on faculty teaching loads for courses paid through Summer School, no-pay courses, and independent study courses. Any overloads will be reported to department chairs or deans and also to the Provost.

2. In response to the need for clarity in contract letters, University Counsel reviewed the University's contract letter for instructors used in 2011 (and earlier) and found it to be a well-structured contract. Even so, Summer School strengthened the [contract letter](#) in summer 2012 by adding language to the effect that instructors were to notify their Summer School administrator or the Dean of Summer School if they had to miss more than one class. As a result of the new language, several instructors notified the Summer School office in advance that they would miss some instructional time. In response, Summer School prepared separate contract letters for those individuals subsequently employed as substitute teachers and reduced the faculty members' stipends accordingly.
3. In response to identifying a number of courses assigned to "staff," the relevant section of the Summer School *Policies and Procedures Manual* was updated, and Summer School notified managers and Summer School administrators that any course designated as being taught by "staff" needed to show an instructor's name by April 30, 2012. (In some cases, however, the names of graduate students assigned to teach laboratory sections in the second summer session were submitted after that date.)
4. In response to a lack of clarity in defining the duties of Summer School administrators, the Dean of Summer School [informed deans, chairs, and the Summer School administrators](#) themselves of the expectations for their work. More oversight on the part of Summer School administrators in each unit is now required to ensure that faculty members nominated to teach are aware of the time commitment summer teaching requires. Administrators who are selecting faculty to teach must be sure that those individuals understand the expectations for face-to-face instruction, as well as the complications created by the compressed and foreshortened nature of the instructional format in summer. These updated

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responsibilities will be included in the contract letters sent in September 2012 to faculty members appointed as Summer School administrators for summer 2013. Revised duties also will be incorporated in the updated *Manual* for summer 2013.

4. 2010 Curriculum Review

Review Procedures

In 2010, Professor of Psychology Abigail Panter led the evaluation of the General Education requirements implemented in 2006 as the “*Making Connections*” curriculum. When those requirements were instituted, a schedule for systematic evaluation was developed. Dr. Panter was assisted by the members of the Administrative Boards (who formed sub-groups to consider the various sets of requirements) and was supported by the Senior Associate Dean for Undergraduate Education and the Office of Undergraduate Curricula.

This review served not only to assess the General Education requirements for all undergraduate degree programs, but also to conduct a systematic review of approximately 140 courses by which students experience the curriculum. The review took place from April through September 2010. It involved fifty-two faculty members (including all members of the Administrative Boards), advising staff, students, and administrators working in five subcommittees. The campus community also had the opportunity to offer comments via forums, interviews, and e-mail communications. Subcommittee members requested and examined student enrollment data, conducted interviews with relevant stakeholders, performed formal evaluations of sampled course syllabi, and deliberated about intended and unintended consequences of proposed changes. Each subcommittee produced a report summarizing its activities, evaluation methodology, analyses, and specific recommendations.

Recommendations

The recommendations resulting from this review addressed several areas where course-taking bottlenecks and redundancies could be reduced. The recommendations also identified areas where enhancements could be made with additional development and study. Finally, the review suggested ways to improve stakeholders’ connections to the General Education of undergraduates at Carolina by increasing communication with students, parents, and faculty members about the curriculum’s intent and benefits. The recommendations were approved by the Administrative Boards of the General College and College of Arts and Sciences on October 13, 2010, and were forwarded to the Dean, who transmitted a subset of recommendations related to revising the curriculum requirements to the Educational Policy Committee, a standing committee of the Faculty Council. The Faculty Council subsequently approved, on December 17, 2010, [recommendations](#) revising the foreign language requirement, limiting the number of times students can enroll in lifetime fitness courses, broadening the supplemental education requirement, and establishing as a norm two General Education designations for any new or revised courses. The Associate Dean for Undergraduate Curricula summarized these recommendations in a [memo](#) sent to the College’s chairs, directors of undergraduate studies, and scheduling officers on January 5, 2011, and the [full report](#) was subsequently posted on the websites of the Faculty Council and the Office of Undergraduate Curricula.

The review report noted that, “In several cases our review generated ideas that require further study before implementation can be considered. . . . Because a number of discrepancies were identified between syllabus requirements and curricular requirements, the Curriculum Committee will examine these cases individually” (p. 9). Subsequent to the review, the Curriculum Committee revised the General Education designations for those

courses that no longer met the criteria for the designations originally approved (see "[Review of the 'Making Connections' General Education Undergraduate Curriculum: Four-Year Follow Up](#)," Fall 2010, Appendix E: Courses for Follow-up Review).

Although the syllabus review did not assess how particular instructors actually taught their courses or enacted their syllabi in University classrooms and laboratories, the review revealed a need to assist faculty in providing complete and clear information to students about the courses they were taking. New faculty especially needed guidance and models for the sorts of information a syllabus should include. Many departments were already providing such help, and the Office of Undergraduate Curricula drew on these models to add a section to its website devoted to "[What Information Should I Include in My Syllabus?](#)" Exemplary syllabi from different disciplines also appear on the Office's website. In addition the Educational Policy Committee has developed and piloted a [template](#) for constructing a course syllabus for adoption campus-wide, pending Faculty Council approval.

A second recommendation resulting from the curriculum review but requiring further study was the development of a one-semester writing and oral communication course required of all entering students, regardless of their scores on AP, IB, SAT, or ACT tests. (A two-semester composition and rhetoric requirement had been part of the undergraduate curriculum for well over a century.) Currently, approximately 60% of entering students annually have been exempted from ENGL 101 on the basis of nationally normed tests; 40% have been exempted from ENGL 102. Students who did so, faculty found, were generally underprepared for college-level expository writing, writing within their major disciplines, and using university-level research resources ([Annual Report of the Educational Policy Committee to the Faculty Council](#), April 15, 2011, p. 2). To address this concern, the Administrative Boards approved a one-semester course that students would be unable to exempt: ENGL 105. The course was endorsed by the Educational Policy Committee and approved by the Faculty Council on April 15, 2011. It becomes effective for all students entering the University in Fall 2012. The implications of the new requirement were addressed in a [memo](#) sent by the Associate Dean for Undergraduate Curricula to all units in the College. ENGL 105 has been explicitly designed to give students practice with writing in the disciplines, conducting undergraduate research, and using and documenting sources in oral and written assignments. In addition, all ENGL 105 students will complete a plagiarism exercise similar to the exercise formerly used in ENGL 101 and 102 (see "[Using Sources in Your Writing](#)").

5. Independent Study Task Force

Task Force Procedures

Another significant response has been the work of the [Independent Study Task Force](#). In September 2011, the Dean of the College of Arts and Sciences requested that the Senior Associate Dean for Undergraduate Education ask the Administrative Board of the College of Arts and Sciences to develop guidelines for undergraduate independent study courses. The Task Force, drawn largely from members of the Administrative Board of the College of Arts and Sciences but also including faculty members from departments where independent study is well-established, began developing guidelines for independent study that would include the following information:

- Expectations concerning student assignments and contact hours with the instructor.
- Conditions under which an active (approved) traditional course might be taught in a different format (such as a directed readings course or an independent study).

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- Conditions under which a course might be taught as a directed readings course before being submitted for a permanent course number.

The Task Force reviewed current University policies concerning independent study courses, existing protocols related to enrollment and assignment of faculty to these courses, and enrollments and grades for the Fall 2011 semester for those undergraduate students enrolled in course sections broadly defined as “independent study for undergraduates.” Task Force members expressed strong support for the benefits of independent study, undergraduate research, internships, and service-learning opportunities for undergraduate students. At the same time they acknowledged that the continued and projected growth in the undergraduate student population at UNC-Chapel Hill would -- combined with faculty turnover, retirements, and new hires -- make it important to have (and follow in a consistent manner) guidelines for undergraduate independent studies. The Task Force provided definitions of types of courses broadly referred to as “independent study” and offered detailed recommendations concerning independent studies, special topics courses, honors theses, and the use of the standard course numbering system, suggesting that many of the recommendations contained in the full report could be useful across the campus. The Task Force was careful to make it clear that its recommendations were not intended to reduce the number of students who are able to participate in undergraduate research and to graduate with honors or highest honors -- both of which are valuable experiences at the heart of the mission of a research university.

Members of the full Administrative Boards were informed of the progress of the Independent Study Task Force and had an opportunity to comment on a draft of the final report. Both boards approved the final report on April 17, 2012. The Dean approved the recommendations and directed the Senior Associate Dean for Undergraduate Education to begin implementing them. The full report was distributed to the College’s deans, directors, chairs, and directors of undergraduate studies on April 23, 2012, together with a [memo](#) urging departments and curricula to begin preparing to conform to any new practices that were not already in place in their units. The Senior Associate Dean for Undergraduate Education sent a [follow-up memo](#) on July 11, 2012 to all College units “to encourage you to initiate implementation of the report’s recommendations as soon as is feasible,” and describing steps that must be in place by November 9, 2012 -- the date when students begin registering for Spring 2013 courses.

Recommendations

Especially relevant here is the directive to prepare formal learning contracts for all independent study courses and to establish an approval process that ensures that the contracts are reviewed. When the faculty member supervising an independent study student is a chair, the contract must be approved by the chair’s senior associate dean. The contracts should stipulate the same information that appears on a syllabus for a regular course (i.e., a work plan, effort expected, meetings with the instructor, assignments and due dates, grading information, etc.). A template for such learning contracts was appended to the Task Force report, and an online version for use throughout the College will be available in late September 2012. Students must register for independent study classes no later than the last day of late registration, as established in the [calendars](#) published by the Office of the University Registrar. The number of independent studies that a faculty member can supervise in each term, including summer, ordinarily will be limited to two students. The instructor must meet regularly with the student throughout the semester or summer term (e.g., one hour per week or two hours every other week), maintaining contact throughout the semester or summer session rather than merely at the beginning and end of it. Active (approved) courses should not be taught in an independent study or directed readings format unless unusual circumstances exist.

Topics courses also were addressed by the Task Force. These courses offer faculty members important opportunities to develop new material or teaching methods and provide a means for visiting faculty to share

their expertise with students. However, because topics courses vary in content, they must show secondary titles when they are scheduled, and course descriptions and/or a tentative syllabus should be made available prior to the registration period, so that students can make informed choices about selecting these courses. When the same topic has been offered twice, the course should be submitted for its own permanent number.

Several Task Force recommendations address the need to enable better monitoring of independent study courses, including mentored research, directed readings, internships, and similar courses. First, departments and curricula will create individual sections of the course for each faculty member who supervises such students. Second, the current system of “reserved” standard numbers described in [University Policy Memorandum #4](#) (“Standard Course Numbering System”) needs to be expanded to include upper-level courses (400-699). Third, a new reserved number (ending in 93) will identify internship courses. Finally, the Task Force recommended reviewing all courses in the College to ensure that their numbers align with the Standard Course Numbering System. That review, conducted by the Office of Undergraduate Curricula in collaboration with the College’s directors of undergraduate studies, has identified approximately 200 courses in the College of Arts and Sciences that will be renumbered, revised, or inactivated by the end of summer 2012, these changes becoming effective with the Fall 2013 semester. This renumbering project should enable improved data collection and reporting on various types of courses broadly included under the term “independent study.”

References

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[2011-2012 Administrative Boards Members](#)

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[Minutes of the Administrative Boards](#)

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[2012 Chair’s Manual](#)

[2011 Chairs’ Retreat Agenda](#)

[Directors of Undergraduate Studies meeting agenda, September 27, 2011, and January 31, 2012](#)

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[Student Services Managers meeting agenda, August 8, 2012](#)

[2011 New Faculty Orientation Agenda](#)

[2012 New Faculty Orientation Agenda \(draft\)](#)

[Chart, UNC-Chapel Hill Electronic Course Approval Process for Undergraduate Courses, July 2012](#)

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[Organizational Chart, Department of African and Afro-American Studies, July 2012](#)

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[Organizational Chart, Summer School, July 2012](#)

[Updates to Summer School *Policies and Procedures Manual for Summer 2012*, February 2012](#)

[Course Registration Summary Data](#)

[Sample Summer School contract letter for summer 2012 with changes](#)

["Summer School Contacts during 2012-13," Jan Johnson Yopp to administrative assistants/managers, Academic Affairs, August 1, 2012, and "Summer School Administrators for 2012-13," Jan Johnson Yopp to chairs and deans, Academic Affairs, August 1, 2012](#)

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[Memo, "English 105 Requirement," June 2, 2012](#)

["Using Sources in Your Writing." 2011-2012 Student Guide to English 100, 101, and 102/102i, pp. 18-27](#)

[Independent Study Task Force Final Report](#)

[Memo, "Independent Study Task Force Report," April 23, 2012](#)

[Memo, "Implementing the Recommendations of the Independent Study Task Force Report," July 11, 2012](#)

[Office of the University Registrar's calendars showing late registration dates for Second Summer Session 2012, Fall 2012, and Spring 2013](#)

[University Policy Memorandum #4 Standard Course Numbering System](#)

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Comprehensive Standard 3.4.9 Academic Support Services

The institution provides appropriate academic support services.

Previous Special Report Responses to This Standard:

The University's [October 12, 2012 response](#) to the SACSCOC's August 21, 2012 request.

The University's [August 2, 2012 response](#) to the SACSCOC's July 2, 2012 request.

First Monitoring Report Response to this Standard, March 8, 2013

In the January 15, 2013 letter to the University of North Carolina at Chapel Hill's Chancellor Holden Thorp, SACSCOC requested a First Monitoring Report addressing the following referenced standards of the *Principles of Accreditation*:

CS 3.4.9 (Academic support services)

The committee could not determine the effectiveness of its initiatives related to its academic support program for student athletes, the outcomes of its implementation of policies related to tutors for student-athletes, and personnel changes for the direction of the ASPSA.

The institution should provide evidence that the leadership and substance of its academic support services are consistent and sufficient to ensure the effectiveness and integrity of its support of its students.

Background

The University of North Carolina at Chapel Hill offers a wide range of academic support services designed to help students achieve academic success. The services support the principles of the University's [Academic Plan](#), as well as its [mission](#) to create a learning environment that fosters academic growth for undergraduate, graduate, and professional students.

Academic support services come in many forms, including advising, tutoring, mentoring, research support, and academic enrichment. Some of the academic support is available to all students and is offered through units specifically designed for those services, such as the Writing Center. Some schools and departments provide services within their unit, such as the Math Help Center (administered by the Department of Mathematics). Some of the academic support services address particular student needs, such as the Academic Success Program for Students with LD/ADHD in the Learning Center, and the Academic Support Program for Student-Athletes (ASPSA).

The Academic Support Program for Student-Athletes serves all of UNC-Chapel Hill's nearly 800 student-athletes. The Program has a permanent staff of fifteen: a director; four associate directors; a learning specialist; a reading, writing, and learning specialist; five academic counselors; one academic assistant; a tutor coordinator; and an office manager. In addition, the Program employs six part-time learning assistants and fifty-seven part-time tutors who, together with the academic counselors, provide front-line student services (see the current [ASPSA Organizational Chart](#)). ASPSA's academic counselors review student-athletes' course loads

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First Monitoring Report

to ensure that they meet NCAA guidelines and regularly monitor these students' progress in the classroom. Learning assistants provide coaching on time management and study skills. Tutors offer learning assistance targeted to specific disciplines and major courses of study.

All but one of ASPSA's fifteen permanent staff members have a master's degree in education, sports administration, counseling psychology, or higher education administration. Of the [57 total tutors](#), six are teachers from local schools (five high school teachers, one middle school teacher), seventeen are from a wide range of other professions, thirty-three are UNC-Chapel Hill graduate students, and one is an advanced UNC-Chapel Hill undergraduate recommended by a course instructor.

Results of the Search for New Leadership of the Academic Support Program for Student-Athletes (the ASPSA Director)

The University has now completed a nationwide search for a new ASPSA Director. The appointee, a highly experienced professional with an outstanding record of success in leading academic support services for student-athletes, will begin work on campus on May 6, 2013.

Search Process

The [search committee](#) for the Director of the Academic Support Program for Student-Athletes was assembled in August 2012 by Senior Associate Dean for Undergraduate Education Bobbi Owen, in consultation with Dr. Steve Matson, who chaired the committee. The [position](#) was posted on the [University's Human Resources \(HR\) website](#) and the advertisement was placed in several national publications, including the following: The Chronicle of Higher Education ([print](#) and [online](#)), [Diverse Issues in Higher Education](#), the [National Association of Academic Advisors for Athletics](#), the [National Association of Collegiate Directors of Athletics](#), the [National Academic Advising Association](#), and [NCAA News Online](#). The HR application portal for this position remained open for 30 days, and in the end more than 60 applications were completed and submitted.

Formal review of applications began in October 2012. The committee determined that the pool contained a range of very talented applicants. Eight candidates were selected for telephone interviews, which were conducted on November 7th and 8th. Each thirty-minute interview used a standard set of questions devised by the committee. The interviews were taped (with each candidate's permission) and made available to all committee members on the University's secure Sakai website. This allowed each committee member to hear each candidate, even if a schedule conflict had prevented them from being present in person for the interview. Based on the phone interviews, the application submitted by each candidate, and their letters of reference, the committee then invited three finalists to be interviewed on campus.

The on-campus interview of each candidate was conducted over a two-day period and involved meetings with the following individuals and groups: the Executive Vice Chancellor and Provost, the Dean of the College of Arts and Sciences, the Senior Associate Dean for Undergraduate Education, the Chair of the Faculty, the Faculty Athletics Representative, the Director of Athletics, the search committee, the (elected) Faculty Athletics Committee, the ASPSA advisory committee, ASPSA staff members, the Director of Athletics' administrative staff and coaches, and a group of student-athletes. The committee received extensive feedback on each of the three candidates interviewed on campus. In addition, Dr. Lissa Broome, Faculty Athletics Representative, discussed each candidate with her counterpart at the candidate's home institution and subsequently provided that information to the search committee.

The search committee met on January 24, 2013 to discuss the finalists based on a review of all the information collected as part of the application and interview process. The committee was enthusiastic about each of the three candidates selected for campus interviews based on their application materials, work experience, and on-campus interview. While the candidates presented very different choices in terms of experience, leadership style, and personality, the search committee believed that all three candidates possessed the requisite qualifications for the position. The unique strengths that each candidate would bring to the job -- as well the challenges he/she would likely face based on his/her awareness of and capabilities concerning the complex interplay between academics and athletics -- were identified. The search committee members were clear in their insistence that the Academic Support Program for Student-Athletes must communicate a clear and consistent message to the student-athletes, the coaches, and the faculty. This necessitates, of course, ongoing support from the Chancellor, the Provost, and the Dean of the College of Arts and Sciences, as well.

The new Director, [Dr. Michelle Brown](#), has been the Associate Athletic Director for Academics and Student Services and Director of the Student-Athlete Center for Academic Excellence at Florida Atlantic University (FAU) since July 2005. Former positions include Associate Director of the Student-Athlete Center for Academic Excellence at FAU, and Assistant Director of Academic Support Services at the university. Her references were all positive and the excellent work she has done at FAU was confirmed by the Faculty Athletic Representative, who has known Dr. Brown for fifteen years. She articulated a vision for the ASPSA with great clarity indicating she will work well with all stakeholders on the Chapel Hill campus. She is data-driven in her approach to working with student-athletes and was well-prepared to discuss the approaches she has used successfully at FAU. Dr. Brown was responsible for several new initiatives at FAU and is described by many as a leader. Several members of the committee, as well as several others who interviewed Dr. Brown, thought her doctorate in education and her teaching experience were also particular strengths. (Note: a doctoral degree was not a requirement for this position).

Dr. Brown is slated to begin work on May 6, 2013. Until that time, Harold Woodard is the interim Director of ASPSA.

Changes in Reporting Lines for the Academic Support Program for Student-Athletes

Two major changes have occurred in the organizational reporting lines for the Academic Support Program for Student-Athletes. The first was removing the dotted reporting line (secondary) to the Department of Athletics at the direction of the Chancellor on [October 9, 2012](#). The second change involves moving the program into the Office of the Executive Vice Chancellor and Provost.

When the new director of the Academic Support Program for Student-Athletes takes over the position on May 6, 2013, the program will be formally moved from the College of Arts and Sciences to the Office of the Executive Vice Chancellor and Provost. The revised reporting lines are reflected on the attached [organizational chart](#). The Director will report to the Provost, with frequent interaction with Stephen M. Farmer, Vice Provost for Enrollment and Undergraduate Admissions. The ASPSA Director will meet on a bi-monthly basis with the Provost's Cabinet, and will convene a "Provost's Roundtable" consisting of parties involved in the intersection of athletics and academics. The decision to move the program was made by the Chancellor in consultation with the Provost, the Dean of the College of Arts and Sciences, and the Director of Athletics.

Because faculty members in the College of Arts and Sciences teach the vast majority of the undergraduate credit hours at the University (including teaching many student-athletes who major in programs within the College), the Academic Support Program for Student-Athletes was moved administratively into the College in

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the early 1980s. However, all funding for the program has always been -- and will continue to be -- provided by the Department of Athletics.

The shift in reporting lines does not indicate any concerns with the oversight provided by the College of Arts and Sciences, the Senior Associate Dean for Undergraduate Education, or the Associate Dean and Director of the Center for Student Success and Academic Counseling, where the program has resided for more than thirty years. By all measures, the College has provided an appropriate home and environment to foster the academic success of student-athletes. The size of the staff has grown, retention and graduation rates have continued to rise (along with those of other undergraduates), and much attention has been paid to the provision of appropriate services for student-athletes over the years.

The most recent change is seen by the University as a means to address the concerns that have been raised about the separation of academic and athletic responsibilities for student-athletes in the University. As the chief academic officer at the University, the Provost is uniquely situated to provide academic oversight at the highest possible level. The distinct responsibilities of the Office of the Provost and the Department of Athletics should remove any remaining concerns about the proper academic oversight of all student-athletes at the University.

College of Arts and Sciences Organizational Structure (Including Reporting Lines for ASPSA and the ASPSA Director) from 1982 to 2013

Since the Academic Support Program for Student-Athletes (ASPSA) has been under the direct oversight of the College of Arts and Sciences since the early 1980s -- and will continue to be until its transition to the Office of the Executive Vice Provost in May 2013 -- a description of the College's organizational structure and leadership is provided.

All the permanent staff members of ASPSA, both full- and part-time, currently are employees of the College of Arts and Sciences. ASPSA is administratively located within the Center for Student Success and Academic Counseling, as are the following programs: the Writing Center, the Learning Center (including the Academic Success Program for Students with LD and ADHD), the Summer Bridge Program, and Student Academic Counseling. The Director of ASPSA currently reports to the Associate Dean and Director of the Center for Student Success and Academic Counseling, who in turn reports to the Senior Associate Dean for Undergraduate Education, who reports directly to the Dean of the College of Arts and Sciences.

The College of Arts and Sciences is the largest academic unit on campus and is central to the University's commitment to innovative teaching, research, and engagement. With 70 academic departments, curricula, programs, and centers, the College employs nearly 1,000 faculty members and serves nearly 18,000 undergraduate and graduate students.

College of Arts and Sciences faculty members teach 86% of the undergraduate credit hours at the University (about 10,000 class sections per year). All first- and second-year undergraduates are required to take courses across the arts and sciences disciplines as part of the College's general education curriculum, and about 70% of juniors and seniors at the University choose their academic majors in the College.

Overseeing the College is Dr. Karen M. Gil, the Lee G. Pedersen Distinguished Professor of Psychology and Professor of Psychiatry. She has been Dean of the College since July 1, 2009. A UNC-Chapel Hill faculty member since 1995, Dr. Gil previously served as Senior Associate Dean for Undergraduate Education, Chair of the Department of Psychology, and Senior Associate Dean for Social Sciences and International Programs.

Dean Gil's senior administrative team and direct reports include six senior associate deans and three directors. Gil oversees the search and appointment process for these positions and conducts evaluations of these administrators, both annually and as the end of an appointment nears. She has standing appointments with each of these administrators and also meets with them as a group twice each week. (Responsibilities for each member of her leadership team are described in the [attached document](#).)

The Effectiveness of Initiatives related to Academic Support for Student-Athletes

A [strategic plan](#) for the Academic Support Program for Student-Athletes (ASPSA) was implemented during the 2011-2012 academic year. The decision to develop a new strategic plan was prompted by the relocation of the Academic Support Program for Student-Athletes into the then new Loudermilk Center for Student-Athlete Excellence and by the NCAA investigation. The planning process and recommendations were described in the September 1, 2011 [final report](#) of the committee led by Bobbi Owen (Senior Associate Dean for Undergraduate Education) and John Blanchard (Senior Associate Athletic Director). This report recognized that student-athletes play an important role in the University, while also acknowledging that the time demands of participating in intercollegiate athletics and representing the University are significant. In addition, the report emphasized the University's responsibility to provide student-athletes with access to high-quality academic support services.

The focus of the planning process was on the mission, staff, services, and resources of the program. As the [detailed matrix](#) of the thirty-seven recommendations demonstrates, the strategic plan for the Academic Support Program for Student-Athletes (ASPSA) has proven to be an important blueprint for action.

The major recommendations from the report are summarized as follows:

- **Develop a new mission statement and share the vision that it encompasses as widely as possible with the campus community.**
 - Mission: The University of North Carolina at Chapel Hill's Academic Support Program for Student-Athletes assists student-athletes in exploring their interests and abilities, enjoying a broad educational experience, and reaching or exceeding their academic goals. This commitment to student learning supports the university's mission to "... teach a diverse community of undergraduates."
 - A vision statement is being crafted with wide consultation across the University, including the appointed Faculty Advisory Committee for ASPSA and the elected Faculty Athletics Committee.
 - Communicating with the University community is essential both to correct the misconceptions about student-athletes that continue to spread AND to situate student-athletes in an environment that supports both their academic development as well as their athletic aspirations.
- **Increase the size of the ASPSA staff with new positions to fill important needs.**
 - Two additional full-time staff members have been hired, including a [tutor coordinator](#) and a [Reading/Writing/Learning Specialist](#) in July 2012.
 - The employment of undergraduate students as tutors has been reduced significantly (only one undergraduate is employed in the 2012-2013 academic year).
- **Revitalize the Faculty Advisory Committee and use the faculty and staff members on the committee to help develop policies and guidelines for use in ASPSA that are consistent with similar policies on campus.**

3.4.9 Academic Support Services

First Monitoring Report

- The faculty/staff advisory committee for the Academic Support Program for Student-Athletes (ASPSA) meets regularly. A [table](#) containing links to agendas, minutes, and documents provided at each of these meetings follows this section of the response. An updated list of the [members](#) of the Advisory Committee is also included here.
- The advisory committee has taken action on advising, hiring tutors with better qualifications, implementing the [Learning Engagement and Enhancement Program \(LEEP\)](#), enhancing services for student-athletes with high GPAs and low GPAs, and increasing the budget. It has also considered ASPSA staff involvement in the admissions process and discussed the possibility of providing notes to instructors after each contact with a tutor.
- Professor Abigail Panter, Bowman and Gordon Gray Professor of Psychology, chair for the 2012-2013 academic year, is providing new perspectives due to her background and experience with statistical analysis and program evaluation.
- **Collaborate with other units serving undergraduates, among them the Writing Center, the Academic Success Program for Students with LD/ADHD (ASP), and the Academic Advising Program.**
 - ASPSA and the Academic Advising Program held a series of joint meetings and discussions in October 2012 with further discussions planned for the months of March and April 2013, June and July 2013, and September and October 2013. The first meeting is scheduled for March 22, 2013.
 - A closer relationship with the Academic Success Program for Students with LD/ADHD (ASP) has benefited student-athletes who have been able to more quickly access services to which they are entitled (under Section 504 and the Americans with Disabilities Act).
 - The Summer Bridge Program (an eight-week program conducted prior to the beginning of the Fall Semester) will include student-athletes in summer 2013, thanks to increased interaction between the two programs. All Summer Bridge participants, including student-athletes, will take two general education courses (English and Math) and engage in activities concerning time management, career counseling, and study skills.
- **Conduct a program of assessment and evaluation to ensure that the services provided are appropriate and effective.**
 - ASPSA assesses and evaluates its services on an ongoing basis and uses the results to make improvements. It has a formal [assessment plan](#) with stated outcomes and methods it uses to measure its progress.
 - ASPSA reports the findings of its evaluations, and the specific changes made as a result, in response to University requirements for annual assessments of outcomes that apply to both degree-granting and support services units.
- **Review the recruiting process and each incoming class of student-athletes in order to anticipate services that may be required for their academic success.**
 - The Undergraduate Admissions Advisory Committee's [Subcommittee on Special Talent](#) considers the academic profile of candidates for admission who possess special talents, including student-athletes. In November 2012 the Undergraduate Admissions Advisory Committee decided to broaden the charge of the Subcommittee on Special Talent to encompass all special-talent students, including those recruited by dramatic art and music and any other programs that might seek similar consideration.
 - The Advisory Committee [charges](#) the Subcommittee on Special Talent with advising the Office of Undergraduate Admissions on the admission of students who, in accordance with Board of Trustees policy, "give evidence of possessing special talents for University programs requiring such special talents." The intent of this change is to give all special-talent programs equal access to the Advisory Committee through this subcommittee, and also to give the programs and the Office of Undergraduate Admissions the chance to consult members of the faculty in case reservations about individual candidates arise.

- The [annual report](#) to the Faculty Council, most recently in February 2013, documents compliance with policies and procedures. It also demonstrates the continually increasing academic credentials of all admitted students, including student-athletes (regardless of sport) at UNC-Chapel Hill.

Outcomes of the Implementation of Policies Related to Tutors for Student-Athletes

The University has completed and implemented a number of initiatives concerning tutoring, tutors, and their supervision and training as recommended in the September 2011 strategic plan for the Academic Support Program for Student-Athletes: “Hire a full-time tutor coordinator who is responsible for recruiting, hiring, training, supervising, and evaluating tutors; help[ing] with access to services available throughout the University; and conduct[ing] exit interviews when tutors leave the program to ensure continuing compliance with NCAA regulations” (p. 5). A full-time [Tutor Coordinator](#) was hired in 2012, which marked an important step toward meeting these recommendations.

Changes have been implemented in the required academic background and preparation of tutors, another important recommendation of the strategic plan. Beginning with the 2011-2012 academic year, hiring undergraduate students was discouraged (they can be used only in highly unusual circumstances), and in the 2012-2013 academic year, only one undergraduate is employed (a native speaker of the Wolof language).

Training in tutoring skills has been increased, as has supervision. The 2012-2013 edition of the [training manual](#) emphasizes best practices. Page 11 of the training manual emphasizes a step-by-step process for working on writing assignments. Page 23 suggests a method for incorporating content with learning strategies.

As the attached 2012 annual [Outcomes Assessment Report](#) documents, ASPSA has identified three specific areas for special consideration. The first objective involves counseling student-athletes concerning degree progress, career exploration, eligibility status, and methods for balancing course responsibilities while also competing in their sport. The second objective involves the delivery of tutorial services, and the third is concerned with the [LEEP](#) (Learning Engagement and Enhancement Program) Initiative.

The specific outcome in the assessment plan related to tutoring is this: To deliver tutorial services in a variety of settings, depending upon the needs of the student.

The assessment mechanisms in place are to:

- Review statistical data captured within the ASPSA database; and
- Examine responses from online surveys completed by both students and tutors.

In addition, developing a system to improve communication between the student-athletes who receive tutorial services and the faculty members teaching the courses for which tutoring is needed remains a high priority.

Findings from the most recent assessment include:

- Students with cumulative GPA of 2.5 or higher are not served adequately by the ASPSA tutorial program.
- ASPSA's academically weaker students receive the most services.
- ASPSA staff needs to examine the relationship between amount of services provided and the accomplishment of stated educational objectives.

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- Feedback also showed that the tutorial staff was too small relative to the number of students needing tutoring.

In response to these assessment findings, the following actions have been taken:

- The Tutor Coordinator's responsibilities were re-configured to remove oversight of any athletic teams and to allow that individual to concentrate on recruiting, training, and supervising tutors.
- More intensive tutor training is being conducted, both initially and throughout the semester. The [Tutor Manual](#) has been extensively revised.
- Ways to quantify the relationship between the amount of services being provided and the extent to which educational objectives are accomplished are being developed.
- A series of meetings have been held to find ways to increase the number of tutors available to students, including referring student-athletes to other campus programs.
- A mechanism for sending comments to faculty members after each session a student-athlete has with a tutor will be created, either by developing new software or purchasing an existing software package, beginning in Fall 2013.

Proxy Request Process Improvements Made

Stronger safeguards for protecting students' confidential information were implemented in the proxy request process for student-athletes during 2011-2012 and 2012-2013. The proxy request process is used in those rare cases when a student-athlete is off-campus or does not have access to the University's online registration system. In such an event, student-athletes may designate a member of the full-time professional staff in the Academic Support Program for Student-Athletes (ASPSA) to act on their behalf during registration.

Additional procedures were established during the 2011-2012 academic year to require a formal request and approval from the Director of the ASPSA (and in certain instances from the Senior Associate Dean for Undergraduate Education). A request for each registration period must be made separately.

A [form](#) was developed by the Academic Support Program for Student-Athletes and is used only when an unavoidable conflict occurs (such as when a student-athlete is traveling internationally) and only after all relevant signatures have been obtained. For example, the [completed proxy requests](#) (redacted to remove names and PID numbers of the undergraduate students involved) were completed on or before November 12, 2012, the date when registration began for the Spring 2013 Semester.

A total of nine such requests were submitted and approved. The process for registration for both summer sessions and the Fall 2013 Semester remains the same.

References

[Comprehensive Standard 3.4.9 \(Academic Support Services\), October 12, 2012 Response](#)

[Comprehensive Standard 3.4.9 \(Academic Support Services\), August 2, 2012 Response](#)

[2011 Academic Plan](#)

[UNC-Chapel Hill Mission Statement](#)

[Academic Support Program for Student-Athletes \(ASPSA\) Organizational Chart, Effective Until May, 6, 2013](#)

[ASPSA Tutors: Roster, Resumes, and Applications](#)

[ASPSA Search Committee](#)

[ASPSA Director Position Description](#)

UNC-Chapel Hill ASPSA Director Search Postings:

[UNC-Chapel Hill Human Resources electronic ad posted 9/6/2012](#)

[*The Chronicle of Higher Education* print ad published 9/21/2012](#)

[*The Chronicle of Higher Education* electronic ad placed 9/17/2012](#)

[Diverse Issues in Higher Education electronic ad placed 9/11/2012](#)

[National Association of Academic Advisors for Athletics \(N4A\) electronic ad placed 9/11/2012](#)

[National Association of Collegiate Directors of Athletics \(NACDA\) electronic ad placed 9/11/2012](#)

[National Academic Advising Association \(NACADA\) electronic ad placed 9/11/2012](#)

[NCAA News Online electronic ad placed 9/11/2012](#)

[Dr. Michelle Brown's CV](#)

[Letter from Chancellor Thorp to Dean Gil and Director of Athletics Cunningham, Regarding Reporting Line of ASPSA Director, October 9, 2012](#)

[Revised Organizational Chart for Office of the Executive Vice Chancellor and Provost](#)

[College of Arts and Sciences Senior Administrative Team and Organizational Charts](#)

[ASPSA Report, September 1, 2011](#)

[Matrix of ASPSA Report Recommendations and Implementations](#)

[Tutor Coordinator Susan Maloy CV](#)

[Reading and Writing Specialist Bradley Bethel CV](#)

[Table of ASPSA Advisory Committee Meetings: Agendas, Minutes, and Handouts](#)

3.4.9 Academic Support Services

First Monitoring Report

[ASPSA Advisory Committee Roster](#)

[Learning Engagement and Enhancement Program \(LEEP\)](#)

[Subcommittee on Special Talent Roster](#)

[Subcommittee on Special Talent Charge](#)

[Advisory Committee on Undergraduate Admissions, 2011-12 Annual Report, February 8, 2013](#)

[2012-2013 Tutor Manual](#)

[ASPSA Annual Outcomes Assessment Report](#)

[Proxy Registration Form](#)

[Completed Proxy Registration Form, specific information redacted](#)

Response for Comprehensive Standard 3.4.9 Academic Support Services

SACSCOC requested additional details and documentation from the University of North Carolina at Chapel Hill specifically related to the following:

- *“A copy of a completed proxy request for course registration for student-athletes*
- *Documentation of the Spring 2012 and, if applicable, Fall 2012 meeting of the ASPSA’s faculty/staff advisory committee*
- *Update on the search for a new ASPSA Director along with a College of Arts and Sciences organizational chart”*

Update on Proxy Request

In the [August 2, 2012 response to C.S. 3.4.9 Academic Support Services](#), information concerning the development of a proxy request process for student-athletes was provided. In those rare cases when a student-athlete is off-campus or does not have access to the University’s online registration system, ConnectCarolina, she or he may designate a member of the full-time professional staff in the Academic Support Program for Student-Athletes (ASPSA) to act on their behalf during registration. In order to provide stronger safeguards for a student’s confidential information, additional procedures were established during the 2011-2012 academic year to require a formal request and approval from the Director of the ASPSA and in certain instances from the Senior Associate Dean for Undergraduate Education. A request for each registration period is made separately.

A [form](#) was developed by the Academic Support Program for Student-Athletes (ASPSA) and is used only when an unavoidable conflict occurs (such as when a student-athlete is traveling internationally) and only after all relevant signatures have been obtained. For example, the [completed proxy request](#) (redacted to remove names and PID numbers of the undergraduate students involved) was completed in August 2012. Requests for proxy registration must be made prior to November 5, 2012 – the date when registration begins for the Spring 2013 semester.

Documentation for Meetings of ASPSA’s Advisory Committee

The faculty/staff advisory committee for the Academic Support Program for Student-Athletes (ASPSA) met twice in spring 2012, once in summer 2012, and for the first time in the 2012-2013 academic year on September 25, 2012. A table containing links to agendas, minutes, and documents provided at each of these meetings follows this section of the response. An updated list of the [members](#) of the Advisory Committee is also included here. Sherry Salyer, Master Lecturer in the Department of Exercise and Sport Science, served as chair of the Committee in 2011-2012, and Professor Abigail Panter, Bowman and Gordon Gray Professor of Psychology, was elected chair on August 16, 2012, for the 2012-2013 academic year.

Agendas, Minutes, and Meeting Documents for the Advisory Committee for the Academic Support Program for Student-Athletes (ASPSA)

MEETING	AGENDA	MINUTES	DOCUMENTS/HANDOUTS
February 22, 2012	Agenda	Minutes	Tutorial Program Measurements
April 5, 2012 (originally scheduled for 3/14/12)	Agenda	Minutes	Lutz Discussion Handout
August 16, 2012	Agenda	Minutes	ASPSA Organizational Chart Policy for Hiring Personal Tutors LEEP Presentation ASPSA Advisory Committee Roster - August 2012 Graduate Learning Assistant Orientation and Training Schedule
September 25, 2012	Agenda	Minutes	ASPSA Advisory Committee Roster - September 2012 Academic Advising Informational Sheet

Update on the Search for a New ASPSA Director and Organizational Reporting Lines

Search Process

The [search committee](#) for the Director of the Academic Support Program for Student-Athletes, finalized in mid-August 2012, is being led by Dr. Steven Matson, Professor of Biology and Dean of the Graduate School. Applicants were asked to submit their application and all supporting materials electronically via the [Human Resources \(“Careers at Carolina”\) website](#) (<http://hr.unc.edu/careers-at-carolina/open-positions/index.htm>) under the heading “Permanent Instructional, Research, Executive (EPA NF – Exempt from the Personnel Act Non-Faculty) Positions.”

The advertisement for the [position](#) appeared in the following publications: [Chronicle of Higher Education print edition](#) dated September 21, 2012 and [online](#) on September 17, 2012; [Diverse Issues in Higher Education online](#) on September 11, 2012; [N4A \(National Association of Academic Advisors for Athletics\) online](#) on September 11, 2012; [NACDA \(National Association of Collegiate Directors of Athletics\) online](#) on September 11, 2012; [NACADA \(National Academic Advising Association\) online](#) on September 11, 2012; and [NCAA News Online](#) on September 11, 2012. The position announcement was posted on the [UNC-Chapel Hill Human Resources website](#) on September 6, 2012 where it remained for 30 days, until October 5, 2012, following University policy for similar positions. All applications must be submitted via this process. As of October 5, 2012, sixty-two applications had been submitted for the position.

When nominations are received, the nominees are contacted by the chair of the search committee, Dr. Steven Matson, who also provides the [position description](#) and information about the application process.

The members of the [search committee](#) met for the first time on August 27, 2012, and received its charge from the Senior Associate Dean for Undergraduate Education, Bobbi Owen. At its initial meeting the search committee also discussed the position announcement and the process for reviewing applications. The committee met again on September 27, 2012, to discuss the applicant review process further, as well as to meet with the following persons: Lawrence “Bubba” Cunningham, UNC-Chapel Hill Director of Athletics;

Harold Woodard, Interim Director of the Academic Support Program for Student-Athletes; and a small group of student-athletes. Dean Owen will receive the committee's final recommendations.

A new director could be in place as early as January 1, 2013, but it is more likely that an appointment will be made in the early spring, with the new director in place no later than July 1, 2013.

College of Arts and Sciences Organizational Structure (including Reporting Lines for the ASPSA Director)

The [Academic Support Program for Student-Athletes](#) (ASPSA) is a program in the College of Arts and Sciences. All the permanent staff members, both full and part-time, are employees of the College of Arts and Sciences. ASPSA is administratively located within the Center for Student Success and Academic Counseling, as are the following programs: the Writing Center, the Learning Center (including the Academic Success Program for Students with LD and ADHD), the Summer Bridge Program, and Student Academic Counseling.

The Director of ASPSA reports to the Associate Dean and Director of the Center for Student Success and Academic Counseling, who in turn reports to the Senior Associate Dean for [Undergraduate Education](#), who reports directly to the Dean of the College of Arts and Sciences.

The Dean of the College of Arts and Sciences is Dr. Karen M. Gil, the Lee G. Pedersen Distinguished Professor of Psychology and Professor of Psychiatry. She has been Dean of the College since July 1, 2009. Dean Gil's [senior administrative team](#) and direct reports include six senior associate deans and three directors. Gil oversees the search and appointment process and conducts evaluations of these administrators, both annually and as the end of an appointment nears. She has standing appointments with each of these administrators and also meets with them as a group twice each week. Responsibilities for each member of her leadership team were described in the [C.S. 3.2.8 Qualified Administrative/Academic Officers](#) section of the August 2, 2012, report to SACSCOC.

Senior Associate Dean for Undergraduate Education, Bobbi (Roberta A.) Owen: Dean Owen oversees all of the programs in the Office of Undergraduate Education, including the following: the Academic Advising Program, the Center for Student Success and Academic Counseling, Distinguished Scholarships and Intellectual Life, First Year Seminars and Academic Experiences, Honors Program and the Johnston Center for Undergraduate Excellence, the Robertson Scholars, Undergraduate Research, Undergraduate Curriculum, and the Office of Retention. She has held a series of administrative positions in the College of Arts and Sciences related to undergraduate education and was involved in the revision of the University's general education requirements (implemented in 2006 and updated in 2011).

References

[Comprehensive Standard 3.4.9 \(Academic Support Services\), August 2, 2012 Response](#)

[Proxy Registration Form](#)

[Proxy Registration Form completed. specific information redacted](#)

[ASPSA Advisory Committee Roster, September 2012](#)

THE UNIVERSITY OF NORTH CAROLINA AT CHAPEL HILL

3.4.9 Academic Support Services

October Response to SACSCOC

[ASPSA Advisory Committee Meeting, February 22, 2012 Agenda](#)

[ASPSA Advisory Committee Meeting, February 22, 2012 Minutes](#)

ASPSA Advisory Committee Meeting, February 22, 2012 Handouts:

- [Tutorial Program Measurements](#)

[ASPSA Advisory Committee Meeting, March 14, 2012 Cancellation Announcement](#)

[ASPSA Advisory Committee Meeting, April 5, 2012 Agenda](#)

[ASPSA Advisory Committee Meeting, April 5, 2012 Minutes](#)

ASPSA Advisory Committee Meeting, April 5, 2012 Handouts:

- [Lutz Discussion Handouts](#)

[ASPSA Advisory Committee Meeting, August 16, 2012 Agenda](#)

[ASPSA Advisory Committee Meeting, August 16, 2012 Minutes](#)

ASPSA August 16, 2012 Handouts:

- [ASPSA Organizational Chart](#)
- [Policy for Hiring Personal Tutors](#)
- [LEEP Presentation](#)
- [ASPSA Advisory Committee Roster - August 2012](#)
- [Graduate Learning Assistant Orientation and Training Schedule](#)

[ASPSA Advisory Committee Meeting, September 25, 2012 Agenda](#)

[ASPSA Advisory Committee Meeting, September 25, 2012 Minutes](#)

ASPSA Advisory Committee Meeting, September 25, 2012 Handouts:

- [ASPSA Advisory Committee Roster - September 2012](#)
- [Academic Advising Informational Sheet](#)

[ASPSA Director Search Committee Roster](#)

[Human Resources "Careers at Carolina" Website](#)

[ASPSA Director Position Description](#)

UNC-Chapel Hill ASPSA Director Search Postings:

- [The Chronicle of Higher Education print ad published 9/21/2012](#)
- [The Chronicle of Higher Education electronic ad placed 9/17/2012](#)
- [Diverse Issues in Higher Education electronic ad placed 9/11/2012](#)
- [National Association of Academic Advisors for Athletics \(N4A\) electronic ad placed 9/11/2012](#)
- [National Association of Collegiate Directors of Athletics \(NACDA\) electronic ad placed 9/11/2012](#)
- [National Academic Advising Association \(NACADA\) electronic ad placed 9/11/2012](#)
- [NCAA News Online electronic ad placed 9/11/2012](#)
- [UNC-Chapel Hill Human Resources electronic ad posted 9/6/2012](#)

[Academic Support Program for Student-Athletes \(ASPSA\) Organizational Chart](#)

[College of Arts and Sciences Undergraduate Education Organizational Chart](#)

[College of Arts and Sciences Organizational Chart](#)

[Comprehensive Standard 3.2.8 \(Qualified Administrative/Academic Officers\), August 2, 2012 Response](#)

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Comprehensive Standard 3.4.9 Academic Support Services

Compliance

The University of North Carolina at Chapel Hill is in compliance with this standard.

Explanation

Integrity is a defining principle for undergraduate academic support services at the University of North Carolina at Chapel Hill. Our faculty, staff, and students are committed to building and maintaining a strong culture of honesty and ethical self-governance. They recognize that such a culture will not survive without critical self-examination and renewal. By its very nature, the work is open-ended -- always subject to revision and improvement.

Academic Integrity and Institutional Culture

Academic integrity defines the history and culture of the University of North Carolina at Chapel Hill. In 1875, the University became one of the first in the nation to establish a formal Honor Code and to charge students with enforcing the highest standards of honesty inside and outside of the classroom. For more than 135 years, students have pledged to “refrain from lying, cheating, or stealing.” That promise continues to figure prominently in campus life. New students sign an honor pledge when they accept admission to the University, and they recite that pledge together at the convocation that marks the opening of each academic year. The pledge is also displayed on placards in every classroom and adorns the cover of the blue books that students use for in-class exams.

[The Honor Code](#) is known formally as the [Instrument of Student Judicial Governance](#). Its enforcement among undergraduate students is administered by the Undergraduate Student Attorney General, who is appointed by the Student Body President in consultation with the Office of the Dean of Students. The Undergraduate Attorney General's Office is staffed by more than 125 students who manage the day-to-day operation of the Honor Court, serve as prosecution and defense counselors, and sit on panels that adjudicate individual cases of alleged misconduct. Parallel administrative structures are in place for graduate students and for students in the various professional schools.

Oversight

Responsibility for University oversight of the Honor System rests with the Assistant Dean for Judicial Programs and the Judicial Programs Coordinator in the Office of the Dean of Students, along with the Committee on Student Conduct. The Committee has twelve voting members: three appointed at-large by the Chancellor, three faculty representatives appointed by the Chair of the Faculty Council, four undergraduate students appointed by the Student Body President, and two graduate students appointed by the Graduate and Professional Student Federation President. In addition, the Undergraduate Student Attorney General, Undergraduate Honor Court Chairperson, Graduate Student Attorney General, Graduate Honor Court Chairperson, Honor System Outreach Coordinator, and Assistant Dean for Judicial Programs serve as non-voting *ex-officio* members. (See the [Honor System website](#), [Office of the Dean of Students' organizational chart](#), and [Committee on Student Conduct roster](#)).

3.4.9 Academic Support Services

August Response to SACSCOC

Promoting Ethical Self-Governance

The Office of the Dean of Students provides comprehensive information on the Honor System for students, faculty, staff, and parents. This information is distributed in various ways: via a custom-designed purpose-built website; in a workshop that is part of the summer orientation program for all entering undergraduate students, and through a series of awareness-raising activities and forums organized each year during Honor and Integrity Week. In addition, the University's Center for Faculty Excellence supports the Honor System in a variety of ways. Staff at the Center maintain a resource library on [integrity issues](#) in the classroom, regularly advise faculty and graduate student instructors on their responsibilities under the Honor Code, and model [best practices for teaching](#) the ethics of scholarship. As a complement to the Center's efforts, the University Library provides online tutorials on [plagiarism](#) and [standard guidelines for citing sources](#) – resources which many instructors assign as required coursework.

The first-year composition course taught by faculty and advanced graduate students in the Department of English and Comparative Literature also includes a formal module on academic integrity and -- more narrowly -- plagiarism and the appropriate use and citation of sources. All first-year students are required to take ENGL 105, which has been explicitly designed to give students practice in writing within the disciplines, conducting research, and using and documenting sources in oral and written assignments. A [plagiarism exercise](#), fashioned after the instructional module previously used in ENGL 101 and 102, will be required of all ENGL 105 students. In this way, the new composition course will situate basic principles of academic integrity as foundational components of every undergraduate student's introduction to college-level research and writing.

The [Office of the Dean of Students](#) is administratively located within the Division of Student Affairs, which is led by the Vice Chancellor for Student Affairs. Student Affairs provides programs and services designed to enhance the co-curricular life of students at UNC-Chapel Hill. Student Affairs works in partnership with the faculty and academic administration to provide a holistic educational experience for all students. [Student Affairs](#) is comprised of a number of units, including:

- [Accessibility Resources and Services](#)
- [Campus Health Services](#)
- [Campus Recreation](#)
- [Counseling & Wellness Services](#)
- [Dean of Students](#)
- [Housing and Residential Education](#)
- [LGBTQ Center](#)
- [New Student and Carolina Parent Programs](#)
- [Office of Fraternity & Sorority Life and Community Involvement](#)
- [University Career Services](#)

A partnership exists between Student Affairs and all academic units at the University, including the College of Arts and Sciences and the professional schools. Student Affairs, through its programs and units, is concerned with the life of the students at UNC-Chapel Hill outside the classroom and in co-curricular activities -- activities that are designed to complement the academic life of the University, which is centered around classroom activities.

Integrity and Academic Support Services in the College of Arts and Sciences

The College of Arts and Sciences provides learning support services to undergraduates through the offices, programs, and centers listed below: the Academic Advising Program, the Undergraduate Retention Office, the Office for Undergraduate Research, the Honors Program, the Study Abroad Office, and the Center for Student Success and Academic Counseling. The Study Abroad Office reports to the College's Senior Associate Dean for the Social Sciences and Global Programs. All other units report to the Senior Associate Dean for Undergraduate Education.

The Academic Advising Program

The [Academic Advising Program](#) (administered by the Director/Associate Dean for Academic Advising) employs twenty-six full-time professional advisers, fifteen part-time faculty advisers, and ten support staff. All first-year students are assigned to a primary academic adviser in their intended field of study. Students retain their primary academic adviser after the first year, but if that person is unavailable, they speak with an adviser who represents the academic division (fine arts and humanities, social sciences, or natural sciences and mathematics) in which their major field of study is situated. Advisers assist students in selecting courses, planning coherent educational programs, maintaining required academic standards, and meeting University expectations for personal conduct. Similar services are provided by the professional schools for those juniors and seniors enrolled in their respective degree programs.

The Undergraduate Retention Office

The [Undergraduate Retention Office](#) supports students on their path to graduation by helping them to identify their individual strengths and take full advantage of campus resources designed to help them succeed. The Director and affiliated staff help students appreciate academic honesty and their responsibilities as scholars in a variety of ways: through individual counseling; via a self-assessment required of all students who are on academic probation; and by helping students who are on academic probation design individualized plans for returning to good academic standing. Students on probation or transfer students struggling with their transition to UNC-Chapel Hill are urged to take the course on Navigating the Research University (EDUC 130, a one-credit course) that includes formal instruction on principles of academic integrity. The course is open to all UNC-Chapel Hill students.

The Office for Undergraduate Research

The [Office for Undergraduate Research](#) (administered by the Director and Associate Dean for Undergraduate Research) brokers faculty-sponsored research opportunities and administers a variety of research grants and fellowships for undergraduate students. Formal training on matters of academic integrity is mandatory for all students engaged in undergraduate research whose projects require Institutional Review Board approval. In addition, the Office sponsors a course on Modes of Inquiry (IDST 195, a one-credit hour course) in which students learn about the ethical standards that govern research and publication across the disciplines. Similar instruction takes place in the research-intensive and methods courses that the Office co-sponsors with various departments, and in select classes for which the Office recruits and trains graduate student research consultants – specially-trained graduate students who coach undergraduates working on individual and group research projects.

The Honors Program

The [Honors Program](#) (administered by the Associate Dean for Honors) offers a curriculum of more than 150 honors seminars and supervises department-level programs in which students research and write senior honors theses. Its overarching goal is to engage undergraduates as scholars who contribute actively to the creation of new knowledge and art. To that end, the Honors Program expects faculty to teach -- and students to put into practice -- the ethical principles that make the scholarly enterprise possible.

The Study Abroad Office

The [Study Abroad Office](#) (administered by the Associate Dean for Study Abroad and International Exchanges) offers UNC-Chapel Hill undergraduates access to more than 325 programs in seventy countries around the globe. Academic and personal integrity are essential to a productive study abroad experience for the student, for the maintenance of UNC-Chapel Hill's relationships with international partners, and for the welfare of study abroad students in those locations where local laws and customs may differ significantly from those in the United States. To these ends, the Study Abroad Office provides orientation workshops for all students enrolled in its programs and requires that these students sign a contract governing legal and ethical behavior -- as well as compliance with UNC-Chapel Hill's [Instrument of Student Judicial Governance](#) (and similar codes of conduct at host institutions).

The Center for Student Success and Academic Counseling

The [Center for Student Success and Academic Counseling](#) (CSSAC) (administered by the Associate Dean and Director of CSSAC) consists of five related units:

The [Center for Academic Counseling](#) provides academic counseling and personal support, manages a monitoring system for students who are in danger of academic failure, and offers a variety of workshops on improving academic skills. Workshop topics include time management; note-taking; reading for comprehension; and established principles of integrity in research, writing, and the use of sources.

[Summer Bridge](#) is a seven-week residential program for a select group of entering first-year students. The program is designed to ease participants' personal and academic transition from high school to college life in Chapel Hill. Students enroll in an English composition course and one course in mathematics or chemistry. In these courses and associated workshops, they learn about the wide array of opportunities available at UNC-Chapel Hill and the standards of honesty and integrity that govern academic life at the University.

The [Learning Center](#) helps students learn more efficiently and perform better in their course work. Services include academic counseling; a reading comprehension program; tutoring in mathematics and the sciences; drop-in peer tutoring; test preparation for the GRE, GMAT, LSAT, and MCAT; and success programs for students with LD/ADHD. Staff members of the Center are trained to recognize integrity issues in each of these areas. When concerns arise, they provide individual guidance or refer students to affiliated service providers in the University community.

The [Writing Center](#) offers students face-to-face consultation sessions on writing and an online tutoring system that allows students to submit draft writing assignments and receive feedback via the Web. Tutors are primarily graduate students from a variety of fields who, prior to working at the Center, undergo more than sixty hours of intensive training provided by the Center's Assistant Director (a composition specialist with a Ph.D. in the field).

The Center also provides online guides to avoiding [plagiarism](#) and managing ethical issues in [group work](#), along with streaming videos on “[Why We Cite](#)” and “[How We Cite](#)”. In addition, the Center offers mini-courses, writing groups, and [online tutorials to help English as a Second Language](#) (ESL) students with concepts related to intellectual property rights and conventions for quoting and citing sources.

The [Academic Support Program for Student Athletes](#) (ASPSA) serves all of UNC-Chapel Hill’s nearly 800 student-athletes. The Program has a permanent [staff](#) of fifteen: a director; four associate directors; a learning specialist; [a reading, writing, and learning specialist](#) (added during the 2011-2012 academic year); five academic counselors; one academic assistant; [a tutoring coordinator](#) (added during the 2011-2012 academic year); and an office manager. In addition, the Program employs twenty-eight part-time learning assistants and seventy-four part-time tutors who, together with the academic counselors, provide front-line student services. ASPSA’s academic counselors review student-athletes’ course loads to ensure that they meet NCAA guidelines and regularly monitor students’ progress in the classroom. Learning assistants provide coaching on time-management and study skills. Tutors offer learning assistance targeted to specific disciplines and major courses of study.

All but one of ASPSA’s permanent staff members have Master’s degrees in relevant fields, including education, sports administration, counseling psychology, or higher education administration. Seventeen of the learning assistants are high school teachers, seven are from a range of other professions, and four are graduate students at the University. Sixty-one of the tutors are UNC-Chapel Hill graduate students, nine are teachers from local schools, and four are advanced Carolina undergraduates recommended by department chairs in their major fields of study.

During the 2010-2011 academic year, the Senior Associate Dean for Undergraduate Education in the College of Arts and Sciences and the Senior Associate Athletics Director for Student-Athlete Services jointly led a strategic planning process for ASPSA. They co-chaired an ad hoc committee of faculty, students, and staff charged with recommending ways that ASPSA might most effectively prepare student-athletes for success at the University. This planning exercise was prompted by the Program’s relocation to a new state-of-the-art center for student-athlete excellence, and by investigations into alleged NCAA rules violations and allegations of academic misconduct by several members of the football team.

The committee issued its [report](#) on September 1, 2011. The Associate Dean/Director of CSSAC assumed primary responsibility for implementing the committee’s recommendations, in partnership with the Director of the Academic Support Program for Student-Athletes.

The following is a summary of key recommendations and follow-up actions taken to date:

Recommendation: Develop closer collaboration between ASPSA and other academic support programs in the College of Arts and Sciences.

Actions: In a [memorandum](#) dated March 9, 2012, the Associate Dean/Director of the Center for Student Success and Academic Counseling affirmed policies that identify academic advisers in the College of Arts and Sciences and undergraduate professional programs as student-athletes’ primary partners in curriculum planning.

- All student-athletes must meet with their primary academic advisers in the College’s Academic Advising Program at least once each year to review their programs of study. Academic advisers have sole responsibility for ensuring that student-athletes select courses that constitute a coherent program of study, fulfill major and general education requirements, and promote timely progress toward graduation.

3.4.9 Academic Support Services

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- To that end, academic advisers now must meet during the summer with newly-admitted student-athletes who begin their course work with Summer School classes. The purpose of these meetings is to ensure that course selection is appropriate for each student's expected course of study (and need, if any, for disability support).
- ASPSA academic counselors complement the work of academic advisers by monitoring student-athletes' classroom performance and providing guidance on complying with both NCAA and Atlantic Coast Conference regulations. The College instructs the counselors in ASPSA not to direct student-athletes to specific classes or major fields of study.
- Under a new policy, ASPSA academic counselors may serve as student-athletes' proxies for the purposes of course registration only under infrequent and exceptional circumstances; e.g., when game schedules take students out of town during official University registration and drop-add periods. Requests for proxy authority must be submitted on a [standard form](#) and approved by the Associate Dean for Student Success and Academic Counseling before any registration activity occurs.

Recommendation: Develop a vision of academic success and integrity that is shared by ASPSA staff, team coaches, the Department of Athletics, and student-athletes.

Action: In 2011-2012, ASPSA and the Office of the Dean of Students co-sponsored an Honor and Integrity Initiative in partnership with the Student Athletic Council, a group of fifty-five student-athletes who represent the University's sports teams. The initiative included the following activities:

- ASPSA staff and the Office of the Dean of Students sponsored a workshop on academic integrity for members of the Student Athletic Council, who were then charged with taking the lessons learned back to members of their respective teams.
- ASPSA staff followed up with [honor and integrity posters](#) that student-athletes signed and hung in their team locker rooms.
- Student Honor Court representatives attended Student Athletic Council meetings throughout the year to help sustain an ongoing conversation about academic integrity.

These activities will be continued and perhaps augmented in the coming years.

Recommendation: Enlarge the ASPSA staff and provide additional resources for professional development.

Actions: In 2011-2012, ASPSA hired a new reading and writing specialist and a full-time director of tutoring. ASPSA leadership updated a [tutoring handbook](#) that spells out tutors' ethical obligations and offers explicit guidance on assisting with writing assignments. Among the specified prohibitions, tutors should not check out library books for student-athletes or provide other research materials for purposes of their writing assignments; should not type on a student's computer; should not take a pen to a student's paper to alter its content, circle misspelled words, mark punctuation errors, etc.; and should not accept student-athletes' papers via e-mail. To assist tutors in complying with these guidelines, ASPSA sponsored a workshop on August 22, 2011, with Marcia Toms, Director of the Tutorial Center at North Carolina State University and author of *Put the Pencil Down*, a guide to hands-off tutoring, a method that helps safeguard academic integrity.

Recommendation: Revitalize ASPSA's faculty-staff advisory committee (also referred to as the advisory board).

Action: The [advisory committee](#) was established during the late 1980s, but in recent years had become inactive. In 2011-2012, the Senior Associate Dean for Undergraduate Education in the College of Arts and Sciences appointed nineteen members drawn from the faculty and staff of the College to serve on the advisory

committee with staggered terms. The committee's charge is to perform ongoing evaluation and assessment of ASPSA, serve as a sounding board for programming, and provide both day-to-day advice and long-term planning. The group met twice during Fall 2011 and twice in Spring 2012.

Recommendation: Monitor program effectiveness.

Actions: ASPSA staff members have created a database that tracks the academic performance of student-athletes alongside their interactions with Program staff and with their academic advisers, whether in the College of Arts and Sciences or in undergraduate professional programs. The information gathered through the database will be used to produce a quantitative assessment of program effectiveness.

References

[Honor Code](#)

[Instrument of Student Judicial Governance](#)

[Office of the Dean of Students organizational chart](#)

[Committee on Student Conduct Roster](#)

[Detecting Plagiarism and Collusion](#)

[New Honor Code – Implications for Teaching](#)

[University Library, online tutorial on plagiarism](#)

[University Library, online tutorial on citing sources](#)

[Using Sources in Your Writing](#)

[Student Affairs Organization Chart](#)

[Accessibility Resources and Services](#)

[Campus Health Services](#)

[Campus Recreation](#)

[Counseling & Wellness Services](#)

[Dean of Students](#)

[Housing and Residential Education](#)

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[LGBTQ Center](#)

[New Student and Carolina Parent Programs](#)

[Office of Fraternity & Sorority Life and Community Involvement](#)

[University Career Services](#)

[Academic Advising Program](#)

[The Undergraduate Retention Office](#)

[Office for Undergraduate Research](#)

[Honors Program](#)

[Study Abroad Office](#)

[Center for Student Success and Academic Counseling \(CSSAC\)](#)

[Center for Academic Counseling](#)

[Summer Bridge](#)

[Learning Center](#)

[Writing Center](#)

[Writing Center plagiarism guide](#)

[Writing Center Group Writing](#)

["Why We Cite"](#)

["How We Cite"](#)

[Writing Center ESL resources](#)

[Academic Support Program for Student Athletes webpage](#)

[Academic Support Program for Student Athletes organizational chart](#)

[Reading, Writing, and Learning Specialist job description](#)

[Tutoring Coordinator job description](#)

[Academic Support Program for Student Athletes planning committee report](#)

[Registration procedures memorandum, March 9, 2012](#)

[Course Registration Proxy Form](#)

[Honor and Integrity Initiative poster – Women’s Golf](#)

[Tutor Handbook 2011-2012](#)

[Academic Support Program for Student Athletes advisory committee roster](#)

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Comprehensive Standard 3.9.2 Student Records

The institution protects the security, confidentiality, and integrity of its student records.

Previous Special Report Responses to this Standard:

The University's [October 12, 2012 response](#) to SACSCOC's August 21, 2012 request.

The University's [August 2, 2012 response](#) to SACSCOC's July 2, 2012 request.

First Monitoring Report Response to this Standard, March 8, 2013

In the January 15, 2013 letter to the University of North Carolina at Chapel Hill's Chancellor Holden Thorp, SACSCOC requested a First Monitoring Report addressing the following referenced standards of the *Principles of Accreditation*:

CS 3.9.2 (Student records)

The institution's initiatives involving grade change, security measures, contextualized transcripts, audit measures, course renumbering, enrollment patterns, and related issues are still being developed. The institution has projected implementation dates in the future and, therefore, has not demonstrated that it ensures the security, validity, and integrity of its student records.

Implementation of Automated Grade Change Process

A major milestone in ensuring the security, validity, and integrity of student grades was achieved when development of the new electronic grade change process was completed on March 1, 2013. This initiative was identified as a major priority for the University in order to address issues discovered in the handling of grade changes within the Department of African and Afro-American Studies. The Assistant Provost and University Registrar oversaw one final testing phase the week of March 4, 2013, after which a sign off was provided to move this new electronic solution into production. This grade change solution will then be released campus-wide no later than March 18, 2013. This system will be demonstrated -- live -- to the visiting team when they arrive on campus.

While this non-manual grade change process represents a significant step forward for the University in its continuing effort to replace manual, paper-based processes with electronic solutions that are more secure, efficient, and auditable, the University, especially the College of Arts and Sciences, has ensured compliance with this standard by requiring a second level of review and approval for all grade changes, including temporary to permanent grade changes, which previously only required instructor approval. The change of one permanent grade to another permanent grade has always required approval by both the chair of the unit for the course involved and the Dean for the student whose grade was being changed. Beginning in Fall 2011, the office of the Senior Associate Dean for Undergraduate Education began to review and require approval for all grade changes, including those involving a temporary grade being changed to a permanent grade. This has been a laborious process for the College and for the Office of the University Registrar, but the additional level of security and review, albeit manual, ensured that no inappropriate grade changes occurred while the electronic grade change solution was developed and tested.

The implementation of this secure, auditable, and far more efficient grade changing process is an enormous step forward for the University. Electronic grading was introduced with the implementation of the PeopleSoft

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student information system in Fall 2010, but the process for changing grades had remained paper-based and extremely manual until this collaboration between the Office of the University Registrar (OUR) and Information Technology Services (ITS) was achieved. The documentation of technical and functional specifications began in October 2012, which means that in less than six months, a fully functional and fully auditable solution was conceived, developed, and tested. The OUR has already received a request from The Ohio State University to share the specifications and code for this very impressive modification to PeopleSoft.

There were several critical requirements for this electronic solution that were insisted upon in the design phase and each has been successfully delivered in the implementation:

- **All grade change transactions and approval processes are now completely automated and fully auditable.** Custom workflow to capture the [grade change approval process](#) was developed with built-in approval steps and automated communications. At UNC-Chapel Hill, the request to change a permanent grade to another permanent grade (e.g., changing a C+ to a B-) is initiated by the instructor of record for the course, but must be approved by both the chair of the department that owns the course and the dean of the school in which the student whose grade is being changed is enrolled. For example, for an undergraduate student in the College of Arts and Sciences to receive an authorized grade change in a Finance course offered by the Kenan-Flagler Business School, the instructor of the Finance course would submit the request, and the Chair for Finance (authority for the course) would need to approve it, as well as the Dean in the College of Arts and Sciences (authority for the student). These two layers of approval were already required under the University's grade change policy, but the PeopleSoft security features and the custom workflow will provide a level of certainty as to exactly who can and/or has approved any given grade change that a paper process simply cannot match. In addition, the custom workflow allows any approved user to view the status of a submitted grade change immediately.

The audit capabilities also allow for more comprehensive and centralized tracking and reporting on all transactions within the system by the OUR. Since the new grade change module is fully integrated into the PeopleSoft enrollment engine, the grade transactions are processed, retained, and auditable within the central student information system. Transactions are being stored in both the delivered table for the enrollment engine and custom tables for the approval actions and communications. Both sets of documentation will be archived in compliance with the [University's General Records Retention and Disposition Schedule](#).

- **Detailed summary reports have been developed by the Office of the University Registrar (OUR) to allow departments and schools to view grade changes by instructor, course, department, school, and type of grade change (e.g., from a temporary to a permanent grade or from a permanent grade to another permanent grade).** These reports are scheduled to be disseminated to all schools and colleges on a monthly basis beginning in April 2013. In addition, a monthly report that summarizes the grade change activity for the entire campus will be provided to the Executive Vice Chancellor and Provost. Since the grade change system is scheduled for release a few days after the March 8, 2013 submission of this First Monitoring Report, copies of these reports will be made available to the Special Visiting Team prior to or during the visit to the UNC-Chapel Hill campus on April 2-4.
- **A security gateway was created as part of the new electronic grade change process using the PeopleSoft system's security functions for grade rosters (see [screenshots](#)).** Only the instructor of record or a dean (or a dean's designate) has access to the grade change page, which, in turn, is accessible only through the individual grade rosters to which each instructor is assigned. On the same page, the instructor can view the status of any pending or completed grade changes for each class via a hyperlink that takes them to a detailed view of the history of the request and all approvals (or denials).
- **The custom workflow includes an automated e-mail communication to the instructor of record after a grade change has been completed for one of his or her classes.** This notification provides the instructor with a record of the grade change that he/she can retain, but also serves as another level of security by alerting the instructor whenever there are any grade transactions associated with their classes. While unauthorized grade changes would be highly unlikely given the multiple layers of security

and auditing present in the new system, this automated notification system would immediately bring such transactions to the attention of the instructor of record.

Complementing the security measures and auditing capabilities of this new system are a series of reports and reporting dashboards. Audit reports that can be produced and disseminated are an important aid in identifying any potential concerns based on grading patterns and grade change patterns. Because of the sensitive nature of any information concerning student grades, these reports are currently produced solely by the Office of the University Registrar and distributed to deans, department chairs, and the Provost to ensure that key administrators are aware of the grading patterns in their units (as well as for the overall University).

The University has recently implemented business intelligence tools that are providing the Office of the University Registrar – for the first time – with the capability to create dashboard reports that can be distributed efficiently and securely to administrators on a recurring basis. These tools are allowing UNC-Chapel Hill to move away from a model in which a central office runs standard reports and manually distributes them to various offices around campus. In addition to making the information more readily available to those who need it, the business intelligence tools are also providing opportunities to present it in more visually meaningful ways to enhance interpretation of the context in which the data should be understood. These tools also allow for notifications to go out when certain conditions are met. This will be the University's next area of exploration for improving reporting and data capabilities on campus.

Implementation of the Contextualized Grading System

One of the most impressive milestones that has been reached in the reporting effort is the development of an interactive and immersive portal for faculty to instantly view grade distribution information organized by faculty member, class section, department or school, or any combination of these variables. These contextualized grade reports are a prime example of how new reporting tools have enhanced a faculty initiative that was approved just three years ago. That initiative did not anticipate the opportunities that these new data tools would provide for contextualizing this information.

When UNC-Chapel Hill's Faculty Council passed [Resolution 2010-3, "On Enhanced Grade Reporting"](#) in April 2010, the University Registrar was tasked with providing an individualized report for each faculty member who taught in a given term, showing how their grade distribution compared to others in their department, college/school, and campus-wide. By the time the solution for the first phase (the reporting effort) of this resolution was completed, the University had implemented a data warehouse and business intelligence tools that allowed for a far more comprehensive approach.

As announced at the January 11, 2013 Faculty Council meeting, the Instructor Grading Patterns Dashboard is an interactive reports portal with three panels for inquiry (see [screenshot](#)). The first panel allows a faculty member to pull up not only his/her own grading information, but that of any instructor of record for a given term. All classes with reportable grades for more than five students are available in the dashboard. Since implementation of the campus-wide tool with the University's minimum reporting number for public reports (classes with greater than five enrollments), this information is considered public. Nevertheless, the reporting tool has provided an opportunity to put this additional level of grading context at the fingertips of every faculty member on campus. (Note: The decision to only release reports about courses with greater than five enrollments was made to lessen the possibility that an individual student could be identified.)

The second panel can be queried to allow a faculty member to review any number of individual sections of classes to compare grading patterns across multiple classes, either within the same department or across

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several departments. The third panel allows for the comparison of grading patterns at the school or division level.

Together, the three panels provide grading context from the level of individual instructors or sections to that of an entire school or college on campus. The interactive nature of the tool allows the faculty member to choose how they would like to contextualize the information, while the charts and tables of data provide very clear markers of what the standard grading patterns are for a department, a course, or an instructor. This level of detail and the interactive nature of these reports go far beyond the original vision of the Faculty Council's resolution. Previously the campus did not have easy access to this sort of information. These new tools are allowing faculty and administrators to establish grading norms and compare them with what occurred in recent years.

Implementation of Student Records Dashboard and Dean's Dashboard

A comprehensive Student Records Dashboard was completed and delivered to a pilot group of about 200 users in November 2012, and released in final form to the rest of campus on February 25, 2013. This more broadly conceived tool has [seven custom-built reports](#) focused on class information, student term information, graduation applicants, and graduation statistics. The Student Records Dashboard reporting tool will continue to grow as additional reports are built for campus use. Considering the dearth of self-service reporting based on a consistent set of data that had previously been available on campus, the University has made significant strides forward in a short amount of time to make critical student data available to those who need it.

As noted above, these broadly available reports help to clearly establish campus data norms, and also serve a very functional purpose for departmental staff, particularly those who are responsible for scheduling classes. One of the seven initial reports is titled "[Class TBA](#)," and is a quick snapshot of any class offered by a department that does not have a meeting place and/or time scheduled. The Scheduling Unit in the Office of the University Registrar has regularly run reports showing classes missing such information and sent this information out to departments. This new reporting model puts this functional data directly in the hands of schedulers and is now a vital tool for class schedulers. Further complementing this tracking effort is a new version of the classroom scheduling tool, Ad Astra. The new version is a Web-based application with a far more sophisticated dashboard for tracking classroom efficiency in real-time. From a campus that had little to no readily available data either for functional purposes or for overall data context, over the last six months, the University has made enormous strides with its reporting capabilities and its overall ability to put critical data in the hands of those who need it most.

To provide readily available information that can quickly identify potential outliers as well as another level of administrative review, a dashboard has also been designed for Deans. This reporting tool, which is being prepared for final release on April 1, 2013, is customized to draw attention to any course or instructor data that do not appear to be aligned with the University's new policies. The development of this more customized dashboard is far ahead of schedule and was made possible by the rapid development and deployment of the more general and broadly available Student Records Dashboard Reports (described above).

The first two reports for this Dean's dashboard focus on two categories: (1) independent study enrollments, and (2) scheduled classes without an instructor of record listed. Both of these reports are relatively simple "red flag" types of reports. For the former, the report shows any sections that exceed the new limit of two enrollments per section. While there will certainly be valid reasons for faculty to periodically have more than two students in an independent study section, this report will allow a Dean to quickly identify any sections that need to be reviewed and/or discussed with a department chair. The second phase of this implementation, as noted

above, will be an immediate alert that goes to a Dean any time that an independent study section exceeds the enrollment restriction of two students.

A second report has been delivered in the initial rollout of the Dean's Dashboard. It is also a straightforward monitoring tool to identify sections that do not have a primary instructor of record listed. Prior to this time, a report had been run by the Office of the University Registrar on a regular basis and sent to department schedulers. In keeping with the goal of putting information in the hands of those who need to know most quickly about these concerns, the dashboard allows the dean to have immediate access to this information at any time.

Additional reports like these will continue to be developed to be added to the Dean's Dashboard as the University's data warehouse, in general, continues to grow. An unfiltered version of the Contextualized Grade Reporting Dashboard (with all classes, even those with fewer than five enrollments) has already been developed and will be included in the Dean's Dashboards on April 1st. As noted previously, being able to put critical information into the hands of faculty and staff around campus is important in establishing clear norms for student data, which could help to identify any deviations from those norms more quickly. It also allows faculty and staff to better do their jobs and to serve students more efficiently and effectively.

As important as it is to more broadly disseminate accurate and easily accessible data to the campus and to put critical summary or notification reports into the hands of Deans and Chairs, the ultimate authority for ensuring the integrity of student records on the campus resides with the Executive Vice Chancellor and Provost. These new reporting tools and particularly the data that can be tracked via the new auditable processes, such as the electronic grade change system, have put the University in a far better position than it has ever been in before to identify trends and any anomalies more quickly and effectively. To ensure that the Provost is constantly aware of any concerns identified through these reporting efforts, all dashboards, reports, and the eventual automated alerts are being designed for access by the Provost. In addition, custom reports are being developed by the Office of the University Registrar to provide the Provost with comprehensive summary snapshots every semester pertaining to scheduling, registration, and grading patterns. While ensuring that the integrity of records and processes will be central to these reporting efforts, new data never previously available to the campus (e.g., degree audit records that can capture anticipated course demand) will also provide new opportunities for how to view class scheduling and registration models, among others. These new tools have been implemented on an aggressive schedule and have allowed for impressive gains in reporting capabilities that are paying immediate dividends. The far greater value will be the long-term safeguards that these new tools and the accompanying structure will provide for ensuring academic integrity on campus.

Implementation of the Revised Standard Course Numbering System

The process of revising the Standard Course Numbering System was completed and adopted campus-wide (see [University Policy Memorandum #4](#)) in July 2012 to more clearly differentiate between various types of non-lecture/non-laboratory course types, including traditional independent study courses, supervised research, internships/practica, and honors thesis courses.

An extensive review of the course catalog was conducted by the Office of the University Registrar and the Office of Undergraduate Curricula. Through a series of queries and reports, all courses that were numbered in a manner that was not consistent with the Standard Course Numbering System – either independent study courses that were not numbered as such or non-independent study courses that had an independent study number – were identified, and a plan was developed to re-number all identified courses according to existing course numbering policies. This latter step was a massive effort and required a great deal of review and analysis, particularly because of the campus policy that no course number can be re-used for five years after

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it has gone inactive. There was a great deal of planning involved to ensure that this large-scale renumbering effort would not cause additional concerns in coming years. As a result of outstanding collaboration between the two offices involved, a master plan was agreed to and the renumbering effort commenced in June 2012.

Implementation of the new numbering system was completed on October 15, 2012. The Executive Vice Chancellor and Provost had directed the deans to complete their course reviews and enter changes in the University's Course Request Approval System (CRAS) by that date to ensure that courses would be listed under their new numbers, both in the 2013-14 *Undergraduate Bulletin* and in the University Registrar's official record of courses for the Fall 2013 Semester. A total of 289 courses were revised (i.e., renumbered, deleted, deactivated, or re-titled) consistent with the new numbering system and entered in the CRAS.

The Office of the University Registrar has used reporting tools built into the new PeopleSoft student information system to conduct an audit of the changes that have been processed for Fall 2013. The resulting reports confirmed that appropriate changes for all courses that had been identified for renumbering were completed by the deadline.

Report on Student-Athlete Enrollment Pattern Monitoring

As with the additional oversight of the grade change approval process, UNC-Chapel Hill has also increased monitoring of registration patterns and put additional measures in place to enforce new policies. Due to the serious nature of the problems identified in the review of the Department of African and Afro-American Studies, the University has developed a series of monitoring reports to identify appropriate concerns in a more automated and comprehensive manner. *All* enrollments of student-athletes are reviewed. This process has occurred for each of the last five terms (Spring 2012, Summer I 2012, Summer II 2012, Fall 2012, and Spring 2013).

This review process includes the Senior Associate Dean for Undergraduate Education, the University's Faculty Athletic Representative to the Atlantic Coast Conference (ACC) and National Collegiate Athletic Association (NCAA), and the University Registrar. All classes with student-athlete enrollments greater than 20% of the total enrollments in the class are flagged, and the Senior Associate Dean for Undergraduate Education follows up individually with the chairs of each relevant department. For the Fall 2012 Semester, the review meeting occurred on [Monday, October 1, 2012](#). Taking into consideration the majors of the students enrolled in these classes, only twenty-four (24) classes out of nearly 4,800 undergraduate classes were identified as having a percentage greater than 20% student-athletes. By [Thursday, October 4, 2012](#) unit Chairs or Deans for all twenty-four courses had been contacted, and none of the classes were found to be of concern. All [24 classes](#) were confirmed to have syllabi, were meeting as scheduled, and had appropriate mechanisms identified that would allow the unit heads to verify that the classes were being conducted in a manner consistent with their expectations.

For the Spring 2013 Semester, the review meeting occurred on January 7, 2013. In an effort to extend the scope of the review, majors were not taken into consideration, and a total of [sixty \(60\) classes](#), out of nearly 5,000 undergraduate classes, were identified with greater than 20% student-athlete enrollment. By January 23, 2013, unit Chairs or Deans for all sixty classes had been contacted, and based on the same criteria noted above, none of the courses were found to be of concern. While these reviews are detailed and time-consuming, the information arising from these analyses each semester are forming the basis for a well-informed and thorough knowledge of enrollment patterns going forward.

In the Fall of 2012, the review process was expanded to include a review of the grading patterns in all courses that exceed the 20% threshold of student-athletes. For each of these classes, the average grade was reported for student-athletes, non-student-athletes, and all class enrollees. The review of Fall 2012 grading patterns took place on February 13th. As noted in the [annotated report](#), which will be presented in summary form to the Faculty Athletic Committee at the April 2013 meeting, grading patterns were very consistent across these courses and raised no concerns with respect to how student-athletes and non-student-athletes were graded. The only disparities observed were somewhat lower grades for student-athletes than non-student-athletes, and the group made a note to see if this pattern continued for certain sections. Otherwise, the grading patterns, like the enrollment patterns, suggest very clearly that there is no current need to be concerned with clustering or disparate grading patterns in classes with even slightly high numbers of student-athletes enrolled.

In addition to reviewing enrollments and grading patterns during the semester, the University Registrar's office has worked with departments and schools to place additional enrollment restrictions on certain courses in order to ensure that new policies are being followed. As noted in the August response to SACSCOC, the Independent Study Task Force made several recommendations for changes to the required approvals, and also specified that additional documentation would be required before a student could register for an independent study. One of the most significant changes is the need for a learning contract to be completed by the faculty member and the student, which is then reviewed by a designated authority before a student can enroll in an independent study. In order to facilitate this process, all independent study sections are set up to require a [permission override](#) to allow enrollment. The new process requires students to have a learning contract approved and on file before registration in any independent study section is allowed.

For those departments that have instituted even more stringent requirements for independent study courses, these [additional requisites](#) are being built into the course catalog. For example, the Department of African and Afro-American Studies now restricts independent studies to majors only and requires a minimum cumulative GPA of 3.00. [Both of these restrictions](#) have been built into the registration process for the Department's independent study courses, which means that in addition to the required learning contract, students trying to sign up for an AFAM or AFRI independent study must also satisfy the major and GPA requirements in order to register.

References

[Comprehensive Standard 3.9.2 \(Student Records\), October 12, 2012 Response](#)

[Comprehensive Standard 3.9.2 \(Student Records\), August 2, 2012 Response](#)

[Electronic Grade Change Process Screenshots](#)

[University Archives and Records Management Services: General Records Retention and Disposal Schedule](#)

[Resolution 2010-3. On Enhanced Grade Reporting](#)

[Contextualized Grade Reports Screenshot](#)

[Student Records Dashboard Screenshot](#)

["Class TBA" Report](#)

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First Monitoring Report

[University Policy Memorandum #4 - Standard Course Numbering System](#)

[Student-Athlete Enrollment Pattern Monitoring Meeting Notes, October 1, 2012](#)

[Student-Athlete Enrollment Pattern Summary, October 4, 2012](#)

[Student-Athlete Enrollment Pattern Monitoring Report, Fall 2012](#)

[Student-Athlete Enrollment Pattern Monitoring Report, Spring 2013](#)

[Grade Review for Student-Athlete Enrollment Pattern Monitoring, Fall 2012](#)

[Course Enrollment Permission Override](#)

[Course Enrollment Department Permission](#)

[Electronic Course Catalog Requirement for Independent Study](#)

Response for Comprehensive Standard 3.9.2 Student Records

SACSCOC requested additional details and documentation from the University of North Carolina at Chapel Hill specifically related to the following:

- *“Update on the progress toward non-manual grade change initiatives*
- *Update on the independent study renumbering project*
- *A report on student-athlete enrollment pattern monitoring”*

Update on Progress Toward Non-Manual Grade Change Initiatives

In our [August 2, 2012 response](#), UNC-Chapel Hill reported that the following progress had been made to date in addressing the issues discovered last year in the handling of grade changes within the Department of African and Afro-American Studies:

Grade changes are still a manual process, but planning has already begun for an electronic grade change process with built-in workflow that would replicate the approval process for all types of grade changes on campus. As soon as the grading integrity issues were identified with the AFAM courses, the College of Arts and Sciences immediately implemented an additional review and approval step for all grade changes, including changes from a temporary grade (Incomplete, for example) to a permanent grade, which previously only required a faculty member’s signature.

Since our update in August, the [project for developing an electronic grade change process](#) has been approved and classified as the highest priority by our Information Technology Services (ITS) implementation team. The University Registrar arranged a series of meetings with the appropriate deans and directors in all of the University’s colleges and schools to document the requirements and approval process for grade changes for each academic program on the campus. There were several critical requirements insisted upon in the design process: (1) complete auditability of any actions in the system; (2) a full reporting system to monitor the volume and types of grade changes for all courses; (3) a security gateway to ensure that only approved faculty members initiate grade changes; and (4) a notification and/or reporting system to inform instructors of record of any grade changes in their classes.

With respect to the auditability of these grade change actions, ITS is creating [custom workflow](#) and custom audit tables, much like those built for the University’s current Course Request Approval System. The workflow will be customized according to the requirements for each academic career on our campus and also according to the approval requirements for changes of a temporary grade (such as an incomplete) and changes of a permanent grade. With the workflow processing, a user will be able to view where a request is within the approval process at any given time. In addition, the custom audit tables will provide the ability to report on the volume and types of grade changes being submitted. As part of the identified design requirements for this customization of the University’s PeopleSoft administrative system, reports will be developed and distributed to deans and department chairs, thus providing the capability to more easily review grade change patterns within a school and/or department.

In addition to full auditability and enhanced reporting capabilities, another key element of the new electronic grade change system will be added security measures to ensure that only the instructor of record for a given class can submit a grade change. The most straightforward way to accomplish this need is to use the security

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mechanisms already provided by PeopleSoft and to provide access to the grade change form via the online grade roster in PeopleSoft. Only the faculty member(s) assigned to a class can access and/or update a grade roster in the system, thus allowing for a secure grade change process. Another measure that will be built into the system is an automated notification that goes out to the faculty member of record whenever a grade change has occurred in one of their classes. Another capability of the notification system will be a periodic report to faculty and departments documenting all grade changes for a given period of time. In addition to providing useful documentation for faculty and departments, this notification/reporting mechanism will also be a safeguard against any unauthorized access and/or changes that may occur. While it is highly unlikely that someone would be able to access a secure grade roster, this additional layer of security will help prevent the types of unauthorized, paper-based grade changes that were discovered to have occurred in the investigation of the Department of African and Afro-American Studies.

The new electronic grade system is scheduled to be available this December when grades are entered for the Fall 2012 semester. As noted earlier, this system enhancement has been identified as the highest priority for the campus and will be delivered on time. The implementation of this electronic and auditable process will be a critical step in improving the efficiency of this process on campus, but far more importantly it will provide significant improvements that will further ensure the complete integrity of our student data, particularly grade data.

While not directly related to the implementation of this new electronic grade change process, the reporting component that will support the [University's contextualized transcript](#) will also be ready in December 2012. These enhanced grade distribution and grade context reports, which will allow for comparison of grading patterns across the entire University, will provide the campus with a much more widespread and clear understanding of what the grading norms are for any given department or school. Deviations from these norms will also be more readily identifiable, and while such deviations are not necessarily indications of problems or threats to the integrity of our student data, they can serve as prime candidates for additional inquiry to ensure that there are, in fact, no problems or concerns that need to be addressed.

These various and significant improvements in auditing capabilities -- both those delivered with the new system and custom-built elements -- will significantly improve the University's ability to oversee various student records processes (particularly grading), and allow for faster, better analysis of problem situations when they occur. These auditing tools can also provide for better monitoring, either to identify problem situations earlier or, preferably, to help prevent potential problems from occurring in the first place.

Update on the Independent Study Course Renumbering Project

A critical prerequisite for monitoring the academic integrity of courses is the availability of valid, reliable data on all forms of for-credit instruction delivered. As described in our August 2012 response to SACSCOC, the results of the College of Arts and Sciences' Independent Study Task Force analysis suggested that the University's system of numbering and labeling courses [did not reliably distinguish](#) between different types of instructional activity. In particular, it was difficult to differentiate traditional independent study courses (in which an individual student carries out a defined academic project under the direction of a faculty member) from other types of non-lecture instruction (such as practica, internships, and supervised research). Some course numbers that had been broadly defined in the existing Standard Course Numbering System as "independent studies" were instead being used for that subset of regular lecture and seminar courses in which students meet as a group with their instructor for regularly scheduled periods each week.

The Independent Study Task Force report concluded that revising the Standard Course Numbering System and realigning all undergraduate courses with it was necessary to facilitate ongoing auditing, assessment, and reporting of enrollments in independent study and other types of courses. The Task Force recommended that the following [revisions to the Standard Course Numbering System](#) be implemented by the University Registrar, in consultation with the Office of Undergraduate Curricula:

- All courses that are standard offerings but are currently incorrectly numbered should be renumbered as soon as possible, preferably in the summer of 2012.
- The sequence of numbers for “special topics” courses should be expanded to include 490, 590, and 690 in order to encompass those courses that can enroll both undergraduate and graduate students. The Task Force emphasized that “special topics” course numbers are not to be used for traditional independent study enrollments. Rather, they should be reserved for those lecture courses that focus on specific subject matter not already covered by an existing course.
- The sequence of numbers ending in “99” and currently used for undergraduate and graduate “experimental offerings” should be eliminated and repurposed.
- A series of numbers and course attributes should be identified – and used – for internships and service-learning courses.
- The sequence of numbers for undergraduate research courses should be expanded to include 495, 595, and 695.

The University Registrar, with support from the Executive Vice Chancellor and Provost, accepted these recommendations and subsequently revised [University Policy Memorandum #4](#), “Standard Course Numbering System,” to include these changes.

Implementation of the College of Arts and Sciences’ Course Renumbering Project

The College of Arts and Sciences initiated their [course renumbering project](#) in June 2012 by reviewing all undergraduate courses that used: (1) one of thirty reserved numbers, or (2) the ten additional numbers being considered for internship and service-learning courses:

- **100-189 Introductory Undergraduate Courses**
- 190, 290, 390 Undergraduate Special Topics Courses
- 195, 295, 395 Undergraduate Research Courses
- 196, 296, 396 Undergraduate Independent Study/Reading Courses
- 199, 299, 399 Undergraduate Experimental Offerings
- **400-699 Courses for advanced undergraduates and graduate students**
- 490, 590, 690 Undergraduate/Graduate Topics Courses
- 495, 595, 695 Undergraduate/Graduate Research Courses
- 496, 596, 696 Undergraduate/Graduate Independent Study/Reading Courses
- 499, 599, 699 Undergraduate/Graduate Experimental Offerings
- 691H, 692H, 693H, 694H Senior (Undergraduate) Honors Thesis
- 697, 698 Capstone Courses (Undergraduate)
- **Possible New Reserved Numbers for Internships**

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- 197, 297, 397, 497, 597 Frequently used for internship courses [Note: After further analysis, it was determined to use numbers ending in “93” for internship courses.]
- 193, 293, 393, 493, 593 Frequently used for internship courses [Note: After further analysis, it was determined to use this sequence of numbers for internship courses.]

A total of 374 courses using the numbers reserved for independent study-related offerings – as well as 132 more courses with titles including key words such as “Internship,” “Practicum,” and “Special Topics” -- were checked against the official course listings in the 2012-2013 *Undergraduate Bulletin*. This analysis turned up additional courses that were not yet active or had titles that did not include the search terms. Eventually, 515 courses were identified for the review, 407 of which were offered by the College of Arts and Sciences and 103 that were offered by various professional schools in the University.

Among the courses reviewed by the College of Arts and Sciences, nearly half (n=205) were found to be correctly numbered and required no changes. From late June through mid-August 2012, the Office of Undergraduate Curricula consulted with faculty members about the contents and instructional mode for the remaining 202 courses. (Faculty input was also sought about appropriate course numbers.) In most cases the courses were simply renumbered to align with the University’s Standard Course Numbering System. In other cases, course titles and descriptions were revised to clarify what type of course it was: research, special topics, directed readings, internship, service-learning, or another type of course. Sixty-six courses were inactivated, including some initially created as “experimental” courses that were no longer being offered by the University.

In addition, several new courses were established to enable a department/curriculum to add an appropriately numbered internship or independent study course to its inventory of courses. In circumstances in which departments desired several kinds of “topics” courses but did not have sufficient available numbers ending in “90,” a different solution had to be found. In these cases, “topic IDs” -- a function available in the new ConnectCarolina course management system -- permitted a single number to encompass multiple topics (or subtopics) as course attributes. For example, the course RELI 590, “Topics in Religion,” will include under one course number different course sections variously titled “Islamic Studies,” “Religions of Asia,” “Religion and Culture,” “Historical Studies,” and “Religion in the Americas.”

A total of 217 transactions for new, revised, and inactivated courses in the College of Arts and Sciences were entered into the electronic [Course Request Approval System](#). These requests were routed for approval by: (1) the department/curriculum; (2) the associate dean of The Graduate School (if the course was designed to be taken by both undergraduate or graduate students); and (3) the Office of Undergraduate Curricula. These [transactions](#) were reported to the Administrative Boards of the General College and the College of Arts and Sciences on [September 18, 2012](#). The renumbered courses will appear in the 2013-14 *Undergraduate Bulletin* and the University’s official record of courses to be offered in the fall 2013 semester. (This was the earliest possible date for these changes to take effect. Students had registered months earlier for fall 2012 courses under existing numbers and the University Registrar’s official record of courses had already been created for spring 2013 before the changes to the Standard Course Numbering System and course number realignments were implemented.)

Those professional schools in the University that offer undergraduate coursework have been reviewing their offerings and processing changes through their own administrative boards over the course of the summer and early fall of 2012. Their progress to date is described in the section of this report containing [responses to questions related to Federal Requirement 4.9 \(Definition of Credit Hours\)](#).

Maintaining Accurate Data for Use in Monitoring Academic Integrity of Courses Offered

An ongoing reporting and review process was established in September 2012 to enable the College of Arts and Sciences to examine course types, instructor assignments, and enrollments each semester. This regular review is designed to serve two purposes. The first is to oversee the College's complete implementation of the renumbering project and continued adherence to the newly revised Standard Course Numbering System. The second is to use the improved data to monitor compliance with policies related to independent studies.

The Office of Undergraduate Education is using two reports designed by the Office of Institutional Research and Assessment containing by-department listings of all courses taught during the Fall 2012 Semester, their instructors, and their enrollments as of the tenth day of class. One report displays all courses with numbers reserved for [traditional independent study and directed readings](#), and the other lists courses with numbers representing for [all other types of non-lecture/non-laboratory courses](#) (such as honors thesis and internships). The College of Arts and Sciences is repeating the analysis it conducted for the first time in Fall 2011 as part of the Independent Study Task Force Review. This analysis will be conducted annually to track enrollments as well as to identify any courses that need to be renumbered.

Most importantly, these specially-designed reports are already being used as an auditing tool for ensuring that the type of problems in the Department of African and Afro-American Studies identified by the Independent Study Task Force are no longer occurring there, or in other units within the College of Arts and Sciences. The Senior Associate Dean for Undergraduate Education and her staff are reviewing the Fall 2012 independent study course data and contacting department chairs for additional information when needed. Two examples of these follow-up inquiries are provided, one for a [humanities course](#) and one for a [science course](#).

Report on Student-Athlete Enrollment Pattern Monitoring

As with our additional oversight of the grade change approval process, UNC-Chapel Hill has also increased monitoring of registration patterns and put additional measures in place to enforce new policies. Due to the serious nature of the problems identified in the review of the Department of African and Afro-American Studies, the University has developed a series of monitoring reports to effectively identify appropriate concerns in a more automated and comprehensive manner. We are currently reviewing *all* enrollments of student-athletes and have done so for the last four terms (Spring 2012, Summer I 2012, Summer II 2012, and Fall 2012).

This review process includes the Senior Associate Dean for Undergraduate Education, the University's Faculty Athletic Representative to the Atlantic Coast Conference (ACC) and NCAA, and the University Registrar. All classes with student-athlete enrollments greater than 20% of the total enrollments in the class are flagged, and the Senior Associate Dean for Undergraduate Education follows up individually with the chairs of each relevant department. For the Fall 2012 semester, the review meeting occurred on [Monday, October 1, 2012](#). Taking into consideration the majors of the students enrolled in these classes, only twenty-four (24) classes out of nearly 4,800 undergraduate classes were identified as having a percentage greater than 20% student-athletes. By [Thursday, October 4, 2012](#) contacts concerning all twenty-four courses had been made and none of the classes were found to be of concern. While these reviews are currently very detailed and time consuming, the information that will arise out of these ongoing semester analyses will form the basis for a well-informed and thorough knowledge of enrollment patterns going forward.

In addition to reviewing enrollments during the semester, the University Registrar's office has worked with departments and schools to place additional enrollment restrictions on certain courses in order to ensure that new policies are being followed. As noted in our August response to SACSCOC, the Independent Study Task

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Force made several recommendations for changes to the required approvals and also specified that additional documentation would be required before a student could register for an independent study. One of the most significant changes is the need for a study agreement to be completed by the faculty member and the student, which is then reviewed by a designated authority before a student can enroll in an independent study. In order to facilitate this process, all independent study sections are set up to require a [permission override](#) to allow enrollment. The new process requires students to have a study agreement approved and on file before registration in any independent study section is allowed.

For those departments that have instituted even more stringent requirements for independent study courses, these [additional requisites](#) are being built into the course catalog. For example, the African and Afro-American Studies Department now restricts independent studies to majors only and requires a minimum cumulative GPA of 3.00. [Both of these restrictions](#) have been built into the registration process for the Department's independent studies, which means that in addition to the required study agreement, students trying to sign up for an AFAM or AFRI independent study must also satisfy the major and GPA requirements in order to register.

References

[Comprehensive Standard 3.9.2 \(Student Records\), August 2, 2012 Response](#)

[Project Plan for Developing an Electronic Grade Change Process](#)

[Grade Change Process Workflow](#)

[Resolution 2011-3. On Reporting Contextual Grade Information on Undergraduate Student Transcripts](#)

[Independent Study Task Force Report, Inconsistent Use of the University's Standard Course Numbering System](#)

[Independent Study Task Force Report, Recommendations for Standard Course Numbering System](#)

[University Policy Memorandum #4, Standard Course Numbering System, Revised September 2012](#)

[College of Arts and Sciences Course Renumbering Project](#)

[Course Request Approval System](#)

[College of Arts and Sciences Course Renumbering Project: Transactions for New, Revised, and Inactivated Courses](#)

[Administrative Boards of the General College and the College of Arts and Sciences minutes, September 18, 2012](#)

[Federal Requirement 4.9 \(Definition of Credit Hours\), October 12, 2012 Response](#)

[Report on Undergraduate Student Enrollments in Independent Study Course Sections, Fall 2012](#)

[Report on Undergraduate Student Enrollments in Special Instruction Type Course Sections, Fall 2012](#)

[Example of Follow-up Inquiry for a Humanities Course](#)

[Example of a Follow-up Inquiry for a Science Course](#)

[Meeting Notes, October 1, 2012](#)

[Enrollment Pattern Summary, October 4, 2012](#)

[Course Enrollment Permission Override](#)

[Course Enrollment Department Permission](#)

[Electronic Course Catalog Requirement for Independent Study](#)

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Comprehensive Standard 3.9.2 Student Records

The institution protects the security, confidentiality, and integrity of its student records.

Compliance

The University of North Carolina at Chapel Hill is in compliance with this standard.

Explanation

The University of North Carolina at Chapel Hill has in place a comprehensive set of policies and strict procedures for protecting the security, confidentiality, and integrity of its student records. This response provides a brief overview of those policies and procedures, followed by details concerning changes that the University has made in response to problems identified in the Department of African and Afro-American Studies (AFAM) related to the integrity of student data. Many of these improvements were made possible with the implementation of a new student information system, which has provided enhanced auditing and monitoring capabilities along with additional security controls. The University has also aggressively implemented new procedures to ensure that there cannot be a repeat of the problems identified in the AFAM investigation.

FERPA and Access Procedures

The security, confidentiality, and integrity of student records at the University of North Carolina at Chapel Hill are protected through strict compliance with the [Family Educational Rights and Privacy Act of 1974](#) (FERPA), along with a comprehensive information security architecture with the necessary policies and procedures to ensure the availability, integrity, and confidentiality of all student data.

In accordance with the [University of North Carolina at Chapel Hill Policies and Procedures Under the Family Educational Rights and Privacy Act of 1974 \(Revised 2010\)](#), access to individual student data is granted only to faculty and staff who have a “legitimate educational interest” in the information for the purpose of carrying out their official duties at the University. The process of obtaining access to student data requires approval at multiple levels. Any user must first complete FERPA training provided by the Office of the University Registrar and then pass an online quiz on FERPA rules and regulations. Faculty and staff needing access then must make a formal request to the Office of the University Registrar through an online request system. The employee’s department head or the Facility Access Control System (FACS) coordinator (who serves as a liaison to UNC-Chapel Hill’s Information Technology Services) must approve the request to certify its appropriateness. The request is then reviewed by the Security Coordinator in the Office of the University Registrar before access is granted. Course instructors can only be granted access to online class rolls and grade rosters after first passing the FERPA quiz and then being formally added to the instructor table maintained by the Office of the University Registrar and the Office of Human Resources. Faculty are then granted access to the appropriate online class and grade rolls when they are formally designated as the instructor of record by their department.

The Chancellor publishes the campus policy related to FERPA compliance (along with the actual FERPA regulations) on the University’s [Campus Policies and Procedures](#) website. The University Registrar publishes a policy statement on security and confidentiality procedures in [University Policy Memorandum #21](#).

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A full explanation of student rights under FERPA is published in the official University bulletins. This statement is located in the [Appendix](#) of the [Graduate Record](#), and in the [Appendix](#) of the [Undergraduate Bulletin](#).

Retention and Security of Student Data

The Office of the University Registrar maintains all permanent student records in a secured room that has both physical security and fire suppression installed. Only members of the Registrar's Office have access to these records, and these staff members are fully trained in the confidentiality, access, release, and security of student records. The Registrar's Office maintains copies of official microfilmed records, with the original films stored securely in the University Archives. All electronic student records stored in the Office of the University Registrar are password protected, and all databases and servers meet the rigorous security procedures established by the University's Information Security Office. All student affairs offices within individual schools across campus are required to follow these same stringent security procedures in the design of databases and servers that hold individual student-level data. As specified in [University Policy Memorandum #21](#), employees are required to protect the confidentiality of student records in their custody, including securing their workstations from unauthorized use.

The Information Security Office (ISO) in Information Technology Services (ITS) oversees the security of the University's electronic information. This office has developed an institution-wide information security program for electronic student academic records that promotes risk management practices and is based on industry best practices, thus ensuring the availability, integrity, and confidentiality of information resources critical to the University's mission. The ISO has published and enforces policies related to [information security](#) and [vulnerability management](#). The complete list of policies can be found on the [University IT Policies](#) webpage.

All access to electronic student data is password protected, and electronic data transfer protocols are encrypted. The student information databases are backed up daily to both on-site and off-site storage facilities in accordance with state auditing requirements. In addition, the University Registrar makes backup copies of all electronic transcripts contained in the Student Information System in both microfiche and CD-ROM format.

In addition, the University Archivist has recently finalized and published the [General Records Retention and Disposition Schedule](#) of UNC-Chapel Hill and the General Administration, which establishes a University-wide retention and disposition schedule to ensure compliance with state, federal, and international laws and statutes with respect to data and document retention.

Integrity of Student Data

A critical component of the University's efforts to maintain the integrity of student data is to ensure that data within the records are not changed without appropriate oversight and sufficient security measures. A primary concern uncovered in the investigation of the Department of African and Afro-American Studies' course irregularities involved unauthorized and forged grade change forms. This section describes the changes that the University has put into place to avoid a recurrence of this data integrity issue.

The University employs special audit processes to ensure the integrity of student information stored in the student system. Audit trails are maintained on student data, including student registrations, grade changes, admissions actions, awarded test and/or transfer credit, and residence status changes. The University's auditing and monitoring capabilities have improved significantly with the implementation in Fall 2010 of ConnectCarolina, a fully-integrated, administrative and student information system. ConnectCarolina has

allowed the University to replace many paper-only processes that were previously only auditable through manual review. Planning is underway for implementing electronic forms and auditable workflow for almost all student record processes by the end of the 2012-2013 academic year.

Security and Auditing

Data integrity begins with appropriate security and the necessary controls to ensure that only authorized users can make approved changes to a student record. The Office of the University Registrar oversees all system access to student records, and restricts access to individuals who have a “legitimate educational interest” in the information for the purpose of carrying out their official duties at the University. The highest level of restriction is for those individuals who have the ability to change a student record. Having these necessary controls in place is essential, and the Office of the University Registrar conducts regular reviews of all assigned security roles to ensure only authorized users have access to make system updates. In addition, any actions performed by a user with update access are themselves fully auditable, and regularly scheduled audits are performed for certain key record modifications, such as grade changes.

While staff in the Office of the University Registrar are the only users who can make grade changes in the system, these changes are only made at the written request of authorized instructors of record or their approved proxy. In light of evidence uncovered in the review of the AFAM courses, which showed that several grade change forms had forged signatures, new procedures were immediately put in place to prevent a recurrence of this significant threat to the integrity of student record data. Since the grade change process is currently still a paper-based process, these immediate procedural changes are short-term. The long-term solution will be a fully automated electronic grade change process, which is already being planned and is discussed in more detail below.

In the old paper-based system, all original grades were submitted on paper grade rosters. It is important to note that neither the paper grading process nor the previous information system provided any validation or restrictions on what grades could be awarded, which represented the first threat to the integrity and accuracy of this data. Reporting and manual cleanup were the only existing mechanisms for ensuring that grade entries aligned with grading policies.

Just as important, a paper-based system provides no additional validation on approved signatures other than visual verification of signatures and random spot-checking and verification with departments and faculty members -- which were protocols that the Registrar’s Office followed. Beginning in Fall 2010, however, ConnectCarolina provided a delivered online grading process, with built-in validation of grade types so that only the grades authorized for each academic career (i.e., major or degree program) could be awarded. In addition, the University developed custom audit tables for grade rosters so that all changes to a roster are logged and auditable. As noted previously, an initial control on who has access even to submit grades begins with departmental approval of who is added to a grade roster and is assigned grading access or approval access. Only instructors of record, including teacher’s assistants or department-approved proxies can be added to grade rosters.

In addition to these initial controls, the custom audit tables store detailed information on exactly who made any changes to a grade roster, which allows for complete auditability of the grade submission process. In those cases when more than one approved grader is on a roster, the data stored in the audit tables would provide the information necessary to identify which approved grader made which changes. Therefore, with only the slight modification of developing a custom audit table, the implementation of ConnectCarolina has allowed

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August Response to SACSCOC

UNC-Chapel Hill to institute better controls, ensure much-needed data validation, and significantly increase auditability of the grade submission process.

Grade changes are still a manual process, but planning has already begun for an electronic grade change process with built-in workflow that would replicate the approval process for all types of grade changes on campus. As soon as the grading integrity issues were identified with the AFAM courses, the College of Arts and Sciences immediately implemented an additional review and approval step for all grade changes, including changes from a temporary grade (Incomplete, for example) to a permanent grade, which previously only required a faculty member's signature.

Currently, a manual audit by the Office of the University Registrar is still performed on all grade changes. A staff member in the Office of the University Registrar who is not normally responsible for data entry of student grade records reviews the Office's weekly grade audit reports. The report is then checked against the official grade change forms to confirm that all grade changes have received proper authorization. This additional level of review and approval by the College of Arts and Sciences has significantly helped with this audit process. The policy and procedures for making changes to grades are published in [University Policy Memorandum #24](#). The State Auditor and the University's Internal Auditor review and approve the records security policy and protocols for the campus.

A far more efficient -- as well a far more auditable process for grade changes -- will be implemented with the electronic grade change process. The key features will be a link on the grade roster that pulls the current student and grade information from the official system. Logic will define the approval workflow that will be required for each type of grade change: temporary grades being changed to permanent grades can be approved by the authorized instructor of record, while any permanent grade being changed will require dean's level approval before being routed to the Registrar's Office. The grade change policy only allows select reasons for grade changes. The electronic process will have a required reason field, which will reiterate the policy while also allowing for better analysis of the reasons for grade changes. This electronic grade change process is currently planned for December 2013. Once implemented, this new system will bring a marked increase in efficiency; will provide much improved security and control of the list of approved users for making grade changes; will allow for complete auditability of grade changes; and will also significantly improve the University's ability to analyze and report on grade changes. This more efficient and sophisticated system will provide a much more reliable oversight system and more than sufficient security measures to ensure that only authorized users are making changes to student records.

Monitoring and Trend Analysis

These various and significant improvements in auditing capabilities, both those delivered with the new system and custom-built elements, have improved the University's ability to oversee various student records processes (particularly grading) and allow for faster, better analysis of problem situations when they occur. These auditing tools can also provide for better monitoring either to identify problem situations earlier or, preferably, to help prevent potential problems from occurring.

A monitoring system relies strongly on the integrity of the data or processes being monitored. The University reacted quickly to concerns identified with independent studies in the Department of African and Afro-American Studies and formed an [Independent Study Task Force](#) that "reviewed current University policies concerning independent study courses, as well as existing protocols related to enrollment and assignment of faculty to independent studies courses." One of the several recommendations made by the Task Force was to re-emphasize the need for, and more closely enforce the requirement that all courses -- but especially

independent studies courses -- be aligned with the standard course numbering system. From the perspective of monitoring these courses, this recommendation was one of the most important. When an institution the size of UNC-Chapel Hill regularly offers more than 10,000 sections of courses in a standard fall or spring semester, having the ability to focus on which courses need what type of monitoring starts with enforcing the integrity of the standard course numbering system.

The subsequent renumbering effort of hundreds of classes is already underway and is expected to be completed by the end of August 2012. Once this effort is complete and the integrity of the standard course numbering system is restored, the auditing and reporting capabilities of the University's new system will allow monitoring to ensure that classes being taught as lectures are actually meeting and being conducted as lectures. In addition, controls have been established to ensure that a formal learning agreement is approved and on file for every student enrolled in an independent studies course.

In addition, similar monitoring efforts will be possible with respect to other student records-related processes. Specific to the AFAM situation, there will clearly be additional monitoring of the enrollment patterns of student-athletes. But a far more systematic approach is to monitor and analyze the enrollment patterns of various student groups throughout the University. Priority registration is an ideal situation for such an approach. [Priority registration](#) at UNC-Chapel Hill is provided only to sponsored groups who make a request for priority registration each semester based on specific criteria. Monitoring of these approved groups' registration patterns not only provides additional information to demonstrate the utility of such a process but also ensures that the process and the various limits and conditions for priority registration are being followed.

These various new ways of monitoring our campus processes and procedures will enforce existing policy and provide valuable data for determining ways in which the associated process can continue to be improved upon.

Data and Reporting

In addition to the new student information system, UNC-Chapel Hill has also implemented a new data warehouse, which features a suite of business intelligence and reporting tools. The implementation of a complete reporting solution is a significant step forward in providing the campus with analytical data to better inform decision-making and planning. Enhanced reporting capability also provides the potential for identifying anomalies or irregularities (like the AFAM situation) earlier than was possible with the previous reporting capabilities.

In the initial rollout of the data warehouse scheduled for August 2012, a top priority is a reporting dashboard for deans and department chairs that features grade distribution information organized by instructor and subject, instructor workload information, class schedule and enrollment information by department, and departmental summaries of all majors, minors, degrees awarded, and average GPA. Similar dashboards will be provided for all department managers and program directors so that departments will have instant access to their own data on courses, instructors, and students. While faculty and staff will certainly welcome the new self-service reporting tools, the greater significance is that the implementation of a fully functioning reporting solution and data warehouse will allow for broader dissemination of campus data to decision-makers, enabling them to clearly establish what the norms and expected outcomes are for any number of processes on campus. With these norms more visually demonstrable through easily accessible reports and data analysis, patterns that fall outside of the norm will be far more easy to identify, and can be acted on much more quickly.

UNC-Chapel Hill made headlines with the recent approval by the Faculty Council of the establishment of a [contextualized transcript](#) for all undergraduates. The transcript itself will not be available before Fall 2013, but

3.9.2 Student Records

August Response to SACSCOC

the reporting that is necessary to produce these contextualized transcripts will be available by September 2012. This comprehensive approach to grade distribution and grade context -- broken down by individual sections, courses, instructors, departments, colleges, and University-wide -- will provide enormous context for standard grading practices on campus. While the contextualized transcript is generally intended for an external audience (graduate schools, scholarships, etc.), the internal benefits of this comprehensive approach to grade reporting will establish clear norms for grading across campus down to the specific course and instructor. Deviations from these norms are not necessarily indications of any problems or threats to the integrity of our student data, but they can serve as prime candidates for additional inquiry to ensure that there are, in reality, no problems or concerns that need to be addressed.

Summary

With respect to maintaining and protecting the integrity of student records data, the University's response to problems identified in the investigation of the African and Afro-American Studies Department has been swift and decisive. The enhanced auditing, monitoring, and reporting capabilities of our new student information system have certainly helped in this regard, but many of these changes were already in the works or being planned, as the University of North Carolina at Chapel Hill continues to look for any and all ways to improve the efficiency, accuracy, and soundness of all procedures related to security, confidentiality, and integrity of our student records. Yet improved technology can and should be only a part of the solution. In order to put into effect the type of changes that are necessary in this case, a comprehensive approach in which technology supplements the far more important policy and procedural changes is required. This is exactly the approach that UNC-Chapel Hill has taken – both to address the specific concerns identified in the AFAM investigation and, more generally, to ensure that we are well-positioned to prevent any future threats to the integrity of our student records.

References

[Family Educational Rights and Privacy Act of 1974](#)

[University of North Carolina at Chapel Hill's Policies and Procedures Under FERPA](#)

[UNC-Chapel Hill's Campus Policies and Procedures webpage](#)

[University Policy Memorandum #21 Access to Student Records](#)

[FERPA Section in Graduate Record Appendix](#)

[2011-2012 Graduate Record](#)

[FERPA Section in Undergraduate Bulletin Appendix](#)

[2012-2013 Undergraduate Bulletin](#)

[UNC-Chapel Hill Information Technology Services Security Policy](#)

[UNC-Chapel Hill Information Technology Services Vulnerability Management Policy](#)

[University IT Policy webpage](#)

[University Archives and Records Management Services General Records Retention and Disposition Schedule](#)

[University Policy Manual #24 The Grading System](#)

[Independent Study Task Force Report, April 10, 2012](#)

[Faculty Council Resolution 2007-13. On Endorsing the Recommendations of the Priority Registration Task Force](#)

[Faculty Council Resolution 2011-3. On Reporting Contextual Grade Information on Undergraduate Student Transcripts](#)

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Federal Requirement 4.9 Definition of Credit Hours

The institution has policies and procedures for determining the credit hours awarded for courses and programs that conform to commonly accepted practices in higher education and to Commission policy.

Previous Special Report Responses to this Standard:

The University's [October 12, 2012 response](#) to SACSCOC's August 21, 2012 Request.

The University's [August 2, 2012 response](#) to SACSCOC's July 2, 2012 Request.

First Monitoring Report Response to this Standard, March 8, 2012

In the January 15, 2013 letter to the University of North Carolina at Chapel Hill's Chancellor Holden Thorp, SACSCOC requested a First Monitoring Report addressing the following referenced standards of the *Principles of Accreditation*:

FR 4.9 (Definition of credit hours)

The institution's initiatives to monitor compliance with credit hour policies and to address issues related to credit hour assignments and class schedules are still being developed. The institution provided descriptions of proposed dashboard reports designed to ensure the integrity of analytical reporting across student, financial, and human resources administrative information. The institution has projected future implementation dates and, therefore, has not demonstrated compliance with the standard.

The institution should complete and implement its initiatives related to the effective and appropriate review of credit hour assignments, class schedules, and other issues to ensure the integrity of its policies and procedures.

UNC-Chapel Hill's Credit Hour Policy

The University has now completed and implemented a number of initiatives to monitor compliance with its institutional [Credit Hour Policy](#) and to ensure the academic integrity of the credit hours awarded for its courses and programs. Methods have been established to systematically review and evaluate the appropriateness of the credit hours assigned to various types of courses, and to confirm that contact hours, student work assignments, and course requirements are consistent with these expectations.

These actions were part of a comprehensive set of controls and process improvements proposed by the University and extensively reviewed by Baker Tilly Virchow Krause, LLP, an external accounting and advisory firm hired by the University to assess its plans in response to academic integrity issues discovered in the Department of African and Afro-American Studies. Baker Tilly's [December 2012 report](#) to the University stated that they could find no gaps between the University's implementation plans and the risks to academic integrity identified in the various internal investigations conducted during 2011 and 2012. Since then, the actions related to credit hour integrity proposed by Baker Tilly have been executed. A [table summarizing these improvements](#) and their alignment with each of the issues contained in [Baker Tilly's "risk matrix"](#) is provided for reference.

Many of the improvements to academic policies and procedures that are described in other sections of the University's response to SACSCOC also serve to support efforts to uphold the integrity of credit hours. This

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report focuses only on those changes as they relate to compliance with the University's Credit Hour Policy and to SACSCOC FR 4.9 (Definition of Credit Hours) standards. Details on the development and approval of new academic policies and procedures are described in the [response to CS 3.4.5 \(Academic Policies\)](#). Similarly, related processes that protect the security and integrity of academic records are provided in the [response to CS 3.9.2 \(Student Records\)](#).

Implementation of Data Quality Initiatives to Monitor Academic Integrity of Courses Offered

The University has now completed and implemented several initiatives recommended by the Independent Study Task Force to improve the reliability and validity of reporting by numbering its courses more consistently. Accomplishing this task was important, since the University's efforts to more closely monitor courses and instructors for compliance with credit hour policies depend on each credit-bearing activity being accurately categorized by course type in the student information system.

In July 2012, revisions to the Standard Course Numbering System were completed and adopted campus-wide (see [University Policy Memorandum #4](#)) to more clearly differentiate between various types of non-lecture/non-laboratory course types. Traditional independent study courses in which an individual student completes an academic project under the direction of a faculty member were assigned to a unique range of course numbers, as were supervised research, internships/practica, and honors thesis courses.

Implementation of the new numbering system was completed as of October 15, 2012. The Executive Vice Chancellor and Provost had [directed the deans](#) to complete their course reviews and enter changes in the University's Course Request Approval System (CRAS) by that date to ensure that courses would be listed under their new numbers, both in the 2013-14 *Undergraduate Bulletin* and in the University Registrar's official record of courses for the Fall 2013 Semester. A total of 289 courses were revised (i.e., renumbered, deleted, deactivated, or re-titled) consistent with the new numbering system and entered in the CRAS.

The Office of the University Registrar and the Office of Undergraduate Education audited and reviewed the changes entered in the CRAS. Their reports confirmed that appropriate changes for all courses that had been identified for renumbering had in fact been entered by the [College of Arts and Sciences](#) and the [professional schools](#) by the October 15, 2012 deadline. To test the effectiveness of the renumbering actions made in 2012, the Office of Institutional Research and Assessment manually applied the changes that should appear in the system next fall to the Spring 2013 data and ran "before and after" versions of routine reports. The comparison suggested that the renumbering efforts will indeed improve reporting validity.

An ongoing reporting and review process was established last fall to enable the College of Arts and Sciences to examine course types, instructor assignments, and enrollments each semester. This regular review is designed to serve two purposes. The first is to ensure that all courses were correctly identified in the conversion to the new Standard Course Numbering System. The second is to use the improved data to monitor compliance with policies related to independent studies.

The Office of Undergraduate Education is using two reports designed by the Office of Institutional Research and Assessment containing by-department listings of all courses taught during the Fall 2012 and Spring 2013 terms, their instructors, and their enrollments as of the tenth day of class. One report displays all courses with numbers reserved for traditional independent study and directed readings (see reports for [Fall 2012](#) and [Spring 2013](#)), and the other lists courses with numbers representing all other types of non-lecture/non-laboratory

courses (such as honors thesis and internships; see reports for [Fall 2012](#) and [Spring 2013](#)). The College of Arts and Sciences is repeating the analysis it conducted for the first time in Fall 2011 as part of the Independent Study Task Force Review. This analysis will be conducted annually to track enrollments as well as to identify any additional courses that need to be renumbered.

Most importantly, these specially-designed reports are being used as an auditing tool for ensuring that the type of problems in the Department of African and Afro-American Studies identified by the Independent Study Task Force are no longer occurring there, or in other units within the College of Arts and Sciences. The Senior Associate Dean for Undergraduate Education and her staff have reviewed the Fall 2012 and Spring 2013 independent study course data using a set of criteria such as enrollment size and discrepancies between course title and number. Contacts have been made with department chairs to obtain additional information about courses that were flagged for additional review. Two examples of these follow-up inquiries are provided, one for a [humanities course](#) and one for a [science course](#). Besides identifying issues that might indicate potential problems, these communications are supporting the College's efforts to help chairs and departmental staff ensure that their own course data are accurate and reflect compliance with the independent study policies.

Implementation of Reports to Detect Inconsistencies in Credit Hour Assignments and Class Schedules

Completion of Dashboard Reports for Departmental Staff

On February 25, 2013, the Office of the University Registrar completed implementation and delivery of the Student Records Dashboard Reports system, which enables department chairs and staff to monitor compliance with credit hour policies. Nearly 700 department users can now access the system to download pre-built reports and spreadsheets, and to create queries to produce ad hoc reports according to their own specifications. [Details on the Student Records Dashboard Reports may be viewed [here](#) and in the [response to CS 3.9.2 \(Student Records\)](#).]

The implementation of this reporting system was significant, because it now provides an efficient and effective way for departments and dean's offices to look for inconsistencies in course credit hour assignments and class schedules as needed. Up until this time, department chairs had to rely primarily on periodic summary reports passed down from the deans, which in turn had to be requested from the Office of the University Registrar or the Office of Institutional Research and Assessment. Now dean's office staff can create reports based on current data at any point in the semester to evaluate compliance with policies across schools and programs.

The following are examples of the types of monitoring and follow-up activities that departmental and dean's office staff can conduct using the dashboard reports to ensure compliance with the University's Credit Hour Policy:

- The ["Class TBA"](#) report can be used by department managers to identify courses without a specific location or meeting time listed in the student information system. Action can then be taken to update the information in the system; contact the instructor for more information; or check the accuracy of the course type.
- The ["Class Meeting"](#) report can be sorted by course number ranges to review the class meeting times for consistency with the University's Credit Hours Policy. For example, the meeting times for a traditional three-hour lecture course should conform to the 150 minutes per week seat-time expectations of the policy.

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- The “[Course Instructor](#)” report helps to identify those instructors supervising more than the maximum number of independent study sections and students, as well as courses with no instructor listed as of the first day of class. The report is also being used as a checklist to confirm that a syllabus for each course has been submitted to the relevant department chair’s office during that term.
- The “[Term Enrollment](#)” report contains academic information on each enrolled student, including major, grade point average, class, etc. This report might be used, for example, as a look-up table by department chairs and registrars to verify that students requesting permission to enroll in independent study meet the minimum requirements for those courses.

New Initiatives to Support Additional Credit Hour Policy Monitoring at the Dean’s Level

Now that department-level personnel are able to review their own student data, a new project has been initiated by the Office of the University Registrar to provide deans with a single dashboard displaying school-wide summary statistics. This tool is meant to offer an additional layer of oversight and review at the dean’s level in order to ensure compliance with credit hour policies, for example the number and percentage of instructors teaching more than two independent study courses in a term. Deviations can then be explored using the more detailed data available in the Student Records Dashboard Reports system. A demonstration of this dashboard can be provided to reviewers during the campus visit April 2-4, 2013.

Institution-Level Reporting to Monitor Credit Hour Policy Compliance

As a further step in monitoring credit hour policies, institution-level reports that were already being produced centrally by the Office of the University Registrar and the Office of Institutional Research and Assessment were revised for use in uncovering at the institution level the specific types of irregularities discovered in the Department of African and Afro-American Studies. For example, an annual faculty productivity report displaying the instructional workloads of each faculty member by department (see [sample report](#)) is now being used to examine norms across units, and to identify individual instructor outliers and departments with unusual or inconsistent patterns. A field was added to the February 2013 class size report to group courses by categories corresponding to the newly revised Standard Course Numbering System (e.g., lecture, laboratory, independent study/directed readings, practicum, research, etc.). This feature enables the Provost’s Office to identify, for example, units with a disproportionate number of undergraduate independent study courses in relation to their total course enrollments, or lecture courses with only one or two enrollees.

Implementation of Syllabus Requirements to Support Adherence to Credit Hour Policy

A critical step in ensuring the integrity of credit hours awarded for UNC-Chapel Hill courses was the Fall 2012 adoption by Faculty Council (and [Spring 2013 implementation](#)) of a [University-wide policy](#) requiring that a syllabus be made available to students in every for-credit course. The course syllabus makes explicit to students the alignment between the intended learning objectives of the course, the time and effort expectations for engagement in learning activities, and the amount and quality of work required to receive credit for the course. Each of these factors is a key consideration in making appropriate determinations of credit hours equivalencies under the University’s Credit Hour Policy. Other ways in which course syllabi help maintain the integrity of credit hours include the following:

- The requirement that a syllabus for each course must be submitted by instructors to the chair or dean serves as an accountability measure for both the instructors and administrators. It allows administrators to verify that the time commitments and meeting patterns described to students on the syllabus are consistent with student/instructor contact hours prescribed in the University's Credit Hour Policy in order for the credits to be duly earned.
- The practice of centrally maintaining syllabi in the unit for at least four years permits reviews in the event of disputes over grade requirements for a particular course. The collection of syllabi at the unit level also provides opportunities to do comparative analyses of the consistency of student work assignments across classes, and to evaluate compliance with credit hour policies over time.
- The Syllabus Guidelines also call for the course assignments, assessment methods, grading scales and weights, and related policies to be made very clear to students. Consistent communications of University expectations help mitigate the risk that a student will receive a grade and credit for a course in which an inappropriate amount of work was required and/or performed.

Because of the central importance of the syllabus in ensuring the integrity of the University's Credit Hour Policy, two procedures were implemented in February 2013 to assess compliance with the Syllabus Guidelines.

- First, the Executive Vice Chancellor and Provost [requested that the deans submit a brief status report](#) on the implementation of the syllabus policy across all courses being taught in their units. The reports were expected to address: (1) whether all instructors had distributed a syllabus to their students on the first day of class; (2) whether a syllabus for each course being taught that term had been submitted to the chair's or dean's office; and (3) what methods were being used to retain the syllabi for four years. [The deans' reports](#) indicated that all units had enforced compliance with the syllabus requirement.
- The following week, the Provost [asked each dean to provide](#) within three working days the actual syllabi for a sample of courses that had been randomly selected by the Office of Institutional Research and Assessment. Analysis of the [nearly 600 syllabi sampled](#) indicated that a syllabus was submitted for the courses that had been sampled, except for a few for which reasonable explanations were identified (e.g., classes that were scheduled to begin meeting later in the term, classes that were actually components of other courses, etc.).

Implementation of Independent Study Policies that Support Credit Hour Integrity

The Spring 2013 implementation of the new policies governing undergraduate independent studies [see [response to CS 3.4.5 \(Academic Policies\)](#)] also enhances the University's efforts to ensure the integrity of the Credit Hour Policy. Several provisions of the Independent Study policies are particularly relevant for maintaining compliance with credit hour regulations:

- The requirement that a student cannot register for an independent study without first executing a formal contract with the faculty instructor reduces the risk that a student will receive credit for doing less work or work of a lower quality than expected by the University. The [contract template](#) adopted by the College of Arts and Sciences requires much of the same information as a course syllabus, such as: learning goals; expected time commitments; readings and other assignments; a regular schedule of meetings with the instructor; and grading criteria. The contract provides documentation that can be used to judge the equivalency of the independent study experience with the work required for a generally similar class awarding the same number of credit hours.
- The approval process for the independent study contract between student and instructor provides an additional level of administrative review and control that did not exist previously. The contract must be reviewed and approved by the instructor's department chair; if the chair is the instructor, the contract must be approved by the senior associate dean for the division. In turn, the dean must approve the independent study contract for a senior associate dean who will serve as the instructor.

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- The requirement preventing an instructor from supervising more than two independent study students per term helps protect his/her time, ensuring that there are enough instructional hours to devote the appropriate amount of contact to their supervisees.

To monitor the credit hour integrity of the Independent Study courses offered in the spring of 2013, [a sample of these contracts](#) was collected and reviewed for content and completeness. Repeating this practice in future semesters will help the University audit compliance with the contract requirement, and permit analyses of the credit hour equivalency of these experiences across instructors and units.

Physical Audits of Class Meetings

The Executive Vice Chancellor and Provost has implemented a process, to be conducted each term beginning with the Spring 2013 Semester, that is designed to provide additional evidence of compliance with the course contact hour requirements specified in the University's Credit Hour Policy. A classroom presence audit was created to confirm that lecture, lab, and recitation classes were meeting in their designated locations at the scheduled time. This test, conducted without notification in advance, was [identified by the Baker Tilly firm](#) as one of several methods that could help confirm compliance with academic policies. In particular, it was undertaken in response to the finding that some AFAM courses approved for delivery as lecture courses had instead been offered in a self-paced independent study format with little instructor contact.

The College of Arts and Sciences [conducted its classroom audit](#) using a random sample of lecture, lab, and recitation classes (n=187) generated by the Office of Institutional Research and Assessment. Classes were visited by employees of the information technology office of the College, who recorded whether the students and instructors were meeting as expected. After following up on a handful of missing classes that later turned out to have been reassigned to another location, the audit did not identify any courses that were not meeting at the appropriate times/places.

The professional schools carried out their own classroom audits in a variety of ways. As an example, the School of Law routinely videotapes all of its class meetings, and therefore already had evidence of compliance. Other schools charged associate deans with visiting a meeting of every on-campus class offered by their programs and completing a log to document their findings. The School of Public Health selected a statistical sample of classes taught on-site during one week in February 2013, and took date- and time-stamped photographs of faculty and students in their classrooms as a record of compliance. No incidences in which classes were not found to be meeting at the designated places and times were reported as a result of these audits.

As an example, the reports from the deans of the [College of Arts and Sciences](#), the [School of Law](#), and the [Gillings School of Global Public Health](#) contain the results of the Spring 2013 classroom audits. The Executive Vice Chancellor and Provost will review with the deans the class checking methods used by the schools this semester to consider how the process and data collection/reporting can be made more efficient in upcoming academic terms.

References

[Federal Requirement 4.9 \(Definition of Credit Hours\), October 12, 2012 Response](#)

[Federal Requirement 4.9 \(Definition of Credit Hours\), August 2, 2012 Response](#)

[University Policy Memorandum #29: Definition of a Credit Hour](#)

[Baker Tilly's Policies and Procedures Report, December 19, 2012](#)

[Implementation/Completion Status of Strategies to Mitigate Risks to Academic Integrity Reviewed by Baker Tilly](#)

[Baker Tilly's Risk Matrix](#)

[Comprehensive Standard 3.4.5 \(Academic Policies\) Response](#)

[Comprehensive Standard 3.9.2 \(Student Records\) Response](#)

[University Policy Memorandum #4: Standard Course Numbering System](#)

[Memo from Executive Vice Chancellor and Provost to Deans Requesting Progress Report on Course Renumbering Efforts, September 26, 2012](#)

[College of Arts and Sciences, Course Renumbering Project Status Report](#)

[Professional Schools, Course Renumbering Project Status Report](#)

[Report on Undergraduate Student Enrollments in Independent Study Course Sections, Fall 2012](#)

[Report on Undergraduate Student Enrollments in Independent Study Course Sections, Spring 2013](#)

[Report on Undergraduate Student Enrollments in Special Instruction Type Course Sections, Fall 2012](#)

[Report on Undergraduate Student Enrollments in Special Instruction Type Course Sections, Spring 2013](#)

[Example of Follow-up Inquiry for a Humanities Course](#)

[Example of a Follow-up Inquiry for a Science Course](#)

[Student Records Dashboard Reports](#)

["Class TBA" Report](#)

["Class Meeting" Report](#)

["Course Instructor" Report](#)

["Term Enrollment" Report](#)

[Sample Faculty Workload Report, Division of Social and Behavioral Sciences, College of Arts and Sciences, Fall 2011 and Spring 2012](#)

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[Memo from Provost Carney to Deans, Regarding Course Syllabi for Undergraduate and Graduate Courses, February 1, 2013](#)

[Resolution 2012-11. On Guidelines for Course Syllabi](#)

[Deans' Reports Regarding Compliance with Syllabi Requirements](#)

[Memo from Provost Carney to Deans, Regarding Course Syllabi, February 19, 2013](#)

[All Syllabi Collected During Audit](#)

[Contract Template](#)

[Samples of Independent Study Learning Contracts](#)

[Physical Classroom Audits, As Suggested in Baker Tilly's Risk Matrix](#)

[Memo from Dean Gil to Provost Carney Regarding the College of Arts and Sciences Classroom Audit](#)

[Classroom Audit Report from the Dean of the College of Arts and Sciences](#)

[Classroom Audit Report from the Dean of the School of Law](#)

[Classroom Audit Report from the Dean of the Gillings School of Global Public Health](#)

Response for Federal Requirement 4.9 Definition of Credit Hours

SACSCOC requested additional details and documentation from the University of North Carolina at Chapel Hill specifically related to the following:

- *“Update on additional academic units’ examination of undergraduate for-credit course classifications and numbering systems.*
- *Update on the design of ‘dashboard views’ that enable the review of inconsistencies in credit hour assignments and class schedule.”*

Update on Additional Academic Units’ Review of Undergraduate Course Classifications and Numbering Systems

The importance of having valid, reliable data to enable the University of North Carolina at Chapel Hill to ensure the academic integrity of the credit hours awarded for completion of University coursework was described in detail in the Independent Study Task Force Report. The strategies that UNC-Chapel Hill has implemented to more closely monitor courses and instructors for compliance with credit hour and other academic policies depend heavily on each credit-bearing activity being accurately categorized by course type were reported to SACSCOC on [August 2, 2012](#). The Independent Study Task Force recommended revisions to the University’s [Standard Course Numbering System](#) as an essential first step. Once completed, a review and realignment of undergraduate courses could begin. In the [words of the Task Force](#), “Data collection, analysis, assessment, and reporting will be clearer as a result of such changes in course numbering.”

While the impetus for the Task Force’s recommendations stemmed primarily from the group’s investigation of course irregularities discovered in the Department of African and Afro-American Studies, the Task Force emphasized that the University’s Standard Course Numbering System “should be followed, not only in the College of Arts and Sciences, but also campus-wide.” The University’s [response to the questions related to Comprehensive Standard 3.9.2 \(Student Records\)](#), which appears earlier in this report, describes the course review and renumbering project completed by the College of Arts and Sciences during the summer of 2012. This section of our report provides an update on the joint efforts by the Executive Vice Chancellor and Provost and the Office of the University Registrar to support UNC-Chapel Hill’s professional schools in implementing a similar review and renumbering process for their undergraduate courses.

Shortly after the release of the College of Arts and Sciences’ Independent Study Task Force Report, Executive Vice Chancellor and Provost Bruce W. Carney encouraged the deans of the professional schools to review the report’s recommendations. In addition, he requested that the Educational Policy Committee (EPC) of the Faculty Council [gather information from the professional schools](#) about the impact of adopting each of those recommendations for their own undergraduate programs. While the implications of implementing some of these recommendations are still under consideration by the deans (for example, independent study contracts and approval processes might need to be customized for certain professional programs), the revisions to the Standard Course Numbering System were not found to pose any limitations for the undergraduate curricula of the professional schools. With the endorsement of the EPC, the Executive Vice Chancellor and Provost [adopted](#) these changes for campus-wide implementation.

As part of the implementation of the College of Arts and Sciences’ renumbering project in early summer 2012, staff in the College’s Office of Undergraduate Curricula contacted their counterparts in the professional schools

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to offer findings from their analysis of course data, advice on how current courses could be converted to fit into the new numbering system, and assistance with entering the changes into the University's [Course Request Approval System \(CRAS\)](#).

Campus-wide compliance with the course review and renumbering process needed to be completed by October 15, 2012, in order to allow time for all necessary changes to be made in both the University Registrar's official record of courses and the *Undergraduate Bulletin* for Fall 2013. The Executive Vice Chancellor and Provost formally [requested](#) that the deans of those professional schools with undergraduate programs provide a written update of their progress on course renumbering by October 4th, 2012. Their responses were compiled in a [report](#) and are summarized in the table below.

In addition to the College of Arts and Sciences, all of the affected professional schools have completed their review and approval processes. As of October 4, 2012, all schools either have entered or are in the process of entering their change transactions into the CRAS system. Those that are still submitting course changes as of this date are on target to finish their remaining entries well before the deadline of October 15, 2012.

Status of Undergraduate Course Classification Review and Renumbering Actions Taken by College/School as of October 4, 2012			
Academic Unit	Review Status	Undergraduate Course Changes (Renumbered, Retitled, Inactivated, Deleted)	Change Process Status
Arts & Sciences	Completed	217	All entered into system
Business	Completed	11	All entered into system
Education	Completed	17	In progress; will be completed by Oct. 15
Information & Library Science	Completed	1	All entered into system
Government	Completed	0	None needed
Journalism & Mass Communication	Completed	2	All entered into system
Law	Not applicable – no undergraduate courses taught		
Social Work	Completed	5	In progress; will be completed by Oct. 15
Dentistry	Completed	7	All entered into system
Medicine: Allied Health Sciences	Completed	15	In progress; will be completed by Oct. 15
Medicine: Basic Sciences	Completed	1	All entered into system
Nursing	Completed	6	In progress; will be completed by Oct. 15
Pharmacy	Not applicable – no undergraduate courses taught		
Public Health	Completed	7	In progress; will be completed by Oct. 15
Total Courses Changes Made		289	

Update on the Design of Dashboards to Enable Reviews for Inconsistencies in Credit Hour Assignments and Class Schedules

Many reports have been developed or revised over the past year to enhance the University's capacity to monitor compliance with credit hour policies and other guidelines supporting academic integrity. This section provides an update to UNC-Chapel Hill's August 2012 response concerning progress in: (1) implementing a new series of electronically delivered reports (or "dashboards"), and (2) improvements made to existing reports to help identify inconsistencies in both credit hour assignments and class schedules that merit further review.

New reporting capabilities for department chairs and administrative staff to manipulate student and instructional data with user-friendly tools were planned for incremental release beginning in late 2012 and extending throughout 2013, as part of the University's multi-year conversion to the PeopleSoft enterprise student information system. However, the findings from the investigations conducted during the 2011-12 academic year increased the urgency of providing departmental users with the capacity to examine their own course and instructional patterns for inconsistencies. Consequently, delivering reports that could add immediate value in assessing compliance with credit hour and related policies was given a higher priority, and the implementation schedule for the reporting solution was revised accordingly.

Both the Office of the University Registrar and the Office of Institutional Research and Assessment were heavily involved with the campus' Information Technology Services (ITS) staff throughout the summer of 2012 to speed up production of the University's first [student data warehouse](#). Completion of data validation of the student records component in September 2012 marked the first deliverable of the UNC-Chapel Hill Data Warehouse Project, the University's long-term effort to create an environment that will eventually permit integrated analytical reporting across student, financial, and human resources administrative information sources. Newly-purchased Oracle Business Intelligence (OBIEE) reporting software was also installed during the summer of 2012, enabling users without computer programming experience to take advantage of the new warehouse data resources.

The [Student Records Dashboard Reports](#) were specifically designed by the Office of the University Registrar to enable school- and department-level staff members to review their own student, course, and instructor data. A "dashboard" is a strategically grouped set of data warehouse information on a particular subject. Department chairs and staff can access the dashboard to download pre-built reports and spreadsheets, and to create queries to produce ad hoc reports according to their own specifications.

Descriptions of the seven available Student Records Dashboard Reports are provided below.

- [Class](#) – A listing of all course sections scheduled for a school term, with enrollment capacity and actual enrollments as of the prior day.
- [Class Instructor](#) – A listing of course sections for that term, with detailed information on the assigned instructors.
- [Class Meeting](#) – Information on all course sections including active/cancelled status, class dates and times, buildings, and rooms.
- [Class TBA](#) – A list of all courses with incomplete information on the meeting pattern, including class dates and times, buildings, and rooms.
- [Degree Candidates](#) – A report on students that have applied to graduate.
- [Degree Recipients](#) – A listing of all students that have been awarded a degree during a particular time frame.

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- **Term Enrollment**- The Term Enrollment report lists the bio-demographical and academic information for all students eligible to enroll for a term. The report shows the student academic program as of the first day of the current term, and the academic plan (major) as of the prior business day.

The Student Records Dashboard Reports are scheduled for release to the campus in late October 2012, with campus-wide information meetings and Web-based, self-guided instructional materials (see [samples of WIKI contents](#)) developed specifically for basic and advanced users. The advanced users (often referred to as “super-users” or “power users”) have been designated by the various deans to carry out more complex analysis (typically used for accountability and decision-making purposes). These advanced users will be required to complete more extensive training on the use of detailed data tables directly out of the Student Data Warehouse. Deans have also appointed one or more [Reporting Coordinators](#) who will be responsible for reviewing and approving each user within their respective organizations for a specific level of access (subject to final approval by the University Registrar). All users, regardless of level of access assigned, must provide evidence of having received training on compliance with the University’s FERPA policy as well as the proper use of the reporting tools.

After the initial introduction of the reporting system, the Office of the University Registrar will use the Student Data Warehouse website to demonstrate how to use the dashboard reports to monitor compliance with specific University credit hour policies and other academic policies. Some of the potential uses of the dashboards for monitoring academic integrity are provided below.

- The “Class TBA” report can be used by department managers to identify any courses for the upcoming or current term that do not have a specific location or meeting time listed in the ConnectCarolina student information system. They will then be able to take appropriate action, which might include the following: updating the system to reflect the current status of the course; contacting the instructor for more information; or confirming that the course number accurately reflects the type of student and faculty face-to-face interaction expected for that course and the credit hours to be awarded.
- The “Class Meeting” report can be sorted by course number ranges that correspond to different types of course types. The department staff can then review the class meeting times listed in the system to confirm consistency with the credit hours that should be awarded for that type of course. For example, a traditional three-hour lecture course should display meeting times that conform to the 150 minutes per week seat-time expectations referenced in the University’s [Credit Hour Policy](#).
- The “Course Instructor” report can be sorted by instructor each term to quickly identify instances where the instructor is listed as supervising more than the maximum number of independent study sections and students, as well as those courses that have no instructor listed as of the first day of class. The report can also be used as a checklist to confirm that a syllabus that meets University guidelines is on file in the department chair’s office (or other designated location) for each course being taught that term.
- The “Term Enrollment” report contains a variety of academic information on each enrolled student, including major, grade point average, class, etc. This report might be used, for example, by department chairs and registrars to ensure that all students enrolled in independent study courses meet the minimum grade point average (or other prerequisites for enrollment) and have an approved independent study contract with the faculty member on file in the department.

It is expected that the deans and department chairs will request additional reports and data elements for inclusion in the Student Records Dashboard Reports system to assist them in their ongoing monitoring of academic integrity within their programs and courses.

Some reports that were already being produced by the Office of the University Registrar and the Office of Institutional Research and Assessment for other purposes have been revised for use in spotting the types of irregularities discovered in the Department of African and Afro-American Studies. As an example, each February the College of Arts and Sciences conducts a faculty workload review, which in the past has focused

primarily on assessing instructional productivity. The Office of Institutional Research and Assessment provides a detailed report on the instructional assignments of each faculty member by department for the preceding summer, fall, and current spring terms (see [sample report](#)). The senior associate deans responsible for the humanities and fine arts, natural sciences and mathematics, and the social sciences review the data for their respective disciplines, check with department chairs concerning any questions they have, and provide a summary report to the Dean of the College. Last year, the senior associate deans observed that this report, with only minor modifications, could also be used to identify potential policy violations that need to be followed up with the chairs. For example, by providing the report in Excel spreadsheet format, the deans can sort the results to look for outliers -- such as instructors with excessive numbers of students enrolled in independent study during a given term. A field is being added to the February 2013 spreadsheet report that displays the descriptive term for the course category corresponding to the newly revised Standard Course Numbering System (e.g., lecture, laboratory, independent study/directed readings, practicum, research, etc.). This feature will allow reviewers to identify, for example, an instructor who is teaching a course that was approved for group lecture format, but which shows only one enrollee.

References

[Federal Requirement 4.9 \(Definition of Credit Hours\), August 2, 2012 Response](#)

[University Policy Memorandum #4: Standard Course Numbering System, Revised September 2012](#)

[Independent Study Task Force Report, Recommendations for Standard Course Numbering System](#)

[Comprehensive Standard 3.9.2 \(Student Records\), October 12, 2012 Response](#)

[Educational Policy Committee, August 29, 2012 Meeting Minutes](#)

[Deans' Council Agendas, September 6, 2012 and October 4, 2012](#)

[Course Request Approval System \(CRAS\) Description](#)

[Memo from Executive Vice Chancellor and Provost to Deans Requesting Progress Report on Course Renumbering Efforts, September 26, 2012](#)

[Progress Report on Undergraduate Course Renumbering Project](#)

[Overview of the Data Warehouse Project](#)

[Introduction to Student Records Dashboard Reports](#)

Descriptions of Individual Student Records Dashboard Reports:

- [Class](#)
- [Class Instructor](#)
- [Class Meeting](#)

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- [Class TBA](#)
- [Degree Candidates](#)
- [Degree Recipients](#)
- [Term Enrollment](#)

[Student Records Dashboard Reports WIKI \(Self-Help\) Topics for Basic and Advanced Users](#)

[Memo from Executive Vice Chancellor and Provost to Deans Concerning Student Data Warehouse Release and Security Access](#)

[University Policy Memorandum #29: Definition of a Credit Hour](#)

[Sample Faculty Workload Report, Division of Social and Behavioral Sciences, College of Arts and Sciences, Fall 2011 and Spring 2012](#)

Federal Requirement 4.9 Definition of Credit Hours

The institution has policies and procedures for determining the credit hours awarded for courses and programs that conform to commonly accepted practices in higher education and to Commission policy.

Compliance

The University of North Carolina at Chapel Hill is in compliance with this requirement.

Explanation

This response summarizes the University of North Carolina at Chapel Hill's established policy and procedures for determining the credit hours to be awarded for courses, consistent with the U.S. Department of Education's definition of the credit hour. Examples are provided to document how equivalent standards and practices for defining the amount and level of credit are applied across all types of courses by the University, whether offered on campus or through distance education, and regardless of format or mode of delivery.

Moreover, this response describes in detail how the University monitors and enforces compliance with its own institutional credit hour policy. Many long-standing program and curricular review practices include, as a matter of course, an evaluation of the appropriateness of credit hours assigned to individual courses. In response to questions raised about the delivery and quality of some courses offered by the Department of African and Afro-American Studies (AFAM), a number of new procedures and controls have been implemented to promote more effective monitoring and investigate potential irregularities more promptly. Some of the improvements described in the responses to standards that appear earlier in this report will also help ensure the academic integrity of the credit hours awarded for coursework at UNC-Chapel Hill.

Institutional Policies and Procedures Related to Credit Hours

The University adopted an institutional policy consistent with the federal definition of the credit hour in February 2012 ([Resolution 2012-1](#)) at the recommendation of the [Educational Policy Committee](#). The policy, which includes language taken directly from the [SACSCOC Credit Hours Policy](#), is provided below as Exhibit A. The University's credit hour policy has been published on the websites of the [Office of the Executive Vice Chancellor and Provost](#), the [Office of Faculty Governance](#), and the [Office of the University Registrar](#) as [University Policy Memorandum #29](#) which further describes the roles of responsible parties in carrying out procedures to monitor compliance with the policy. The Executive Vice Chancellor and Provost has also had discussions with the deans about how the credit hour policy was to be implemented in the various academic units.

4.9 Definition of Credit Hours

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EXHIBIT A

Resolution 2012-1. On Adopting the Federal Definition of the Credit Hour.

The Faculty Council enacts:

Section 1. The University of North Carolina at Chapel Hill hereby adopts the Federal Definition of a Credit Hour (described in 34 CFR 600.2, effective July 1, 2011) as follows:

Federal Definition of the Credit Hour. For purposes of the application of this policy and in accord with federal regulations, a credit hour is an amount of work represented in intended learning outcomes and verified by evidence of student achievement that is an institutionally established equivalency that reasonably approximates:

1. Not less than one hour of classroom or direct faculty instruction and a minimum of two hours out of class student work each week for approximately fifteen weeks for one semester or trimester hour of credit, or ten to twelve weeks for one quarter hour of credit, or the equivalent amount of work over a different amount of time, or
2. At least an equivalent amount of work as outlined in item 1 above for other academic activities as established by the institution including laboratory work, internships, practica, studio work, and other academic work leading to the award of credit hours.

Section 2. This credit hour policy applies to all courses at all levels (graduate, professional, and undergraduate) that award academic credit (i.e. any course that appears on an official transcript issued by the University) regardless of the mode of delivery including, but not limited to, self-paced, online, hybrid, lecture, seminar, and laboratory. Academic units are responsible for ensuring that credit hours are awarded only for work that meets the requirements outlined in this policy.

Section 3.

1. The University of North Carolina at Chapel Hill adheres to the Carnegie unit for contact time (750 minutes for each credit awarded) in its official Academic Calendar
2. Additional guidelines and procedures for implementing and monitoring compliance with Federal requirements and accreditation standards related to credit hours should be recorded in a University Policy Memorandum (UPM) maintained by the University Registrar.

Submitted by the Educational Policy Committee.

Comment: As outlined in the SACS/COC Policy concerning credit hours “Students, institutions, employers, and others rely on the common currency of academic credit to support a wide range of activities, including the transfer of students from one institution to another.” In addition, “...the federal government has relied on credits as a measure of student academic engagement as a basis of awarding financial aid.” It is noted that Federal regulations provide institutions with some flexibility to take into consideration alternative delivery methods, types of coursework, measurements of student work, academic calendars, disciplines, and degree levels when determining credits to be awarded for student work. The Federal definition does not dictate particular amounts of classroom time versus out-of-class student work. Credits may be awarded on the basis of documentation of the amount of work a typical student is expected to complete within a specified amount of academically engaged time. The basic requirement is that a credit hour “reasonably approximate” the minimum amount of work specified in Section 1, above.

UNC-Chapel Hill Credit Hour Standards and Review Processes

Prior to adopting the revised federal and SACSCOC credit hour definitions, UNC-Chapel Hill had for decades employed a comprehensive set of standards for assigning credit hours, as well as a formal review processes for evaluating them. This section describes the University’s policies and practices in this area.

Standards for Specific Types of Instructional Activities

The University's [official Academic Calendar](#), which is maintained by the Office of the University Registrar, specifically states that courses will [adhere to the Carnegie unit for contact time](#). The University follows these standards for all lecture and seminar courses, where the expectation is that students will spend a minimum of two hours outside the classroom for each hour spent inside. The Academic Calendar is published on the website of the Office of the University Registrar, and also in both the printed and online versions of the [Undergraduate Bulletin](#).

As an example of the time requirements and credit hours awarded for a traditional lecture course, [HIST 84, "Monsters, Murder, and Mayhem in Microhistorical Analysis: French Case Studies"](#) (three credits), meets three times each week (M-W-F) in 50-minute segments. Students have significant reading assignments, are expected to prepare mid-term and final examinations, and are required to submit one or more seven- to ten-page research papers, which average – at a minimum – six hours of work each week to prepare outside of classroom hours.

Other lecture courses, particularly large class sections, may be scheduled for a combination of lecture meetings and small-group recitations (such as [ECON 101 "Microeconomics"](#)). Many language courses consist of a combination of lecture meetings and language laboratory sessions.

In the case of laboratory courses, the overall time expectations for each credit hour are the same as for lecture and seminar courses, except that the proportion of time spent in class (i.e., the laboratory setting) is increased and the expectations outside of class are decreased. For example, [CHEM 101L, "Quantitative Chemistry Laboratory"](#) (one credit), meets for a single four-hour block of time each week. Students enrolled in this course are expected to bring a laptop computer to class where they learn "computerized data collection, scientific measurement, sensors, thermochemistry, spectroscopy, and conductometric titration." While students are required to submit laboratory reports and sit for a final examination, the majority of the work in this course occurs within the laboratory setting.

Students who register for [independent studies](#), [academic internships](#), [practica](#), or who are preparing an [honors thesis](#) are subject to similar expectations concerning the overall amount of time necessary to successfully complete their coursework. Even though these alternate modes of learning feature less formal contact time with the course instructor, instructors must meet with the students on a regular basis throughout the semester. Students who register for these courses are expected to be self-motivated and independent learners. In addition, most departments have prerequisites for enrollment in these types of classes, such as class level, grade point average, and acceptance to that program or major.

The expectation of "seat time" inside the classroom and student effort outside the classroom is the same in all modes and formats in which courses are offered at UNC-Chapel Hill, including: fully online courses, those courses which are a hybrid of face-to-face contact and content delivered via electronic means, traditional lecture courses, and courses offered in a seminar format. Additional examples of how credit hour standards are applied to non-lecture courses were provided in the University's March 2012 SACSCOC Fifth Year Interim Report response to [Comprehensive Standard 3.4.6 "Practices for Awarding Credit."](#)

The examples provided reflect the minimum standards that apply more generally to introductory courses than to advanced undergraduate, graduate, and professional level courses. The latter types of courses have learning outcomes that require more intensive out-of-class preparation, or higher levels of participation in research activities or internships. In addition, merely meeting these minimum expectations may lead to average

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grades for any individual student; thus, students at every level usually find that they must spend additional time to achieve academic excellence during their time at the University.

Process for Determining Credit Hour Value of Individual Courses

The determination of credit hours to be awarded is made whenever a new course -- or a revision to an existing course -- is proposed. The College of Arts and Sciences and each professional school in the University approve all courses authorized for degree credit through a multi-stage review process which begins with an endorsement by departmental faculty and ends with the final approval by their respective administrative boards. An example of the complete course approval process and the roles and responsibilities of groups and individuals within the College of Arts and Sciences is provided in the response to [Comprehensive Standard 3.4.5, "Academic Policies."](#)

A complete course syllabus must accompany the written proposal for each new or revised course, which is then examined at each level of review for contact time, learning outcomes, assignments, and evaluation mechanisms. Many academic units have discipline- and curriculum-specific requirements for courses and credit hour equivalencies that also must be addressed in the proposals and syllabi. For example, the College of Arts and Sciences' Office of Undergraduate Curricula and its Administrative Board review the syllabus of each course proposed to count towards the University's [General Education requirements](#) in order to confirm that the course satisfies specific standards outlined in the College's [Criteria Document](#). These criteria include adherence to the class contact hour requirements outlined in the University's credit hour policy, as well as expectations for written assignments (such as a paper of at least ten pages in length). [University policy](#) dictates that all undergraduate courses have final examinations and further specifies that these three-hour examination periods are to be included in the credit hour calculations.

Two recent examples are provided here to illustrate the review process for determining the appropriate credit hour value for individual courses:

The first example contains a [proposal submitted for a semester-long field research and seminars experience by the Department of Anthropology and documentation of its review and approval by the Administrative Board](#) of the College of Arts and Sciences. The proposal describes in detail the learning activities and time expectations for the three-credit hour courses student complete as part of the research experience. This document includes the learning objectives; the schedule for formal face-to-face lecture, laboratory, and workshop sessions; days/weeks of supervised field work; course requirements and assignments; and methods of evaluating student achievement.

The second example illustrates the review of a [proposal for a new English composition course for first year students. Of particular relevance for this response is the discussion concerning whether this course should be approved for three or four credit hours. The minutes of the Administrative Board meeting reflect the expectation that the new course will be evaluated](#) following its implementation, and that the fourth credit hour should be monitored carefully to ensure that appropriate instruction is taking place.

Similar review processes exist to determine credit hour values for graduate courses. The Graduate School's Academic Policy Committee, a subcommittee of the Administrative Board of The Graduate School, is responsible for approving academic policies related to graduate programs and courses. An example of a credit hour-related issue that this committee reviews concerns [requirements for professionally-designated graduate programs](#) (e.g., MBA, MPA, etc.). In these programs, training often includes clinical or practicum experiences and/or a period of apprenticeship, either on- or off-campus. The Academic Policy Committee reviews

requests from programs to replace the standard master's thesis or doctoral dissertation minimum credit-hour requirements with an equivalent substitute option such as a capstone project, synthesis course, or associated documentation relating the field to needs in a particular area of practice.

Monitoring Existing Courses for Compliance with Credit Hour Policy

The institutional policies and procedures in place at the University of North Carolina at Chapel Hill to review and approve new or revised courses and assign credit hours are thorough and rigorous. However, the academic problems identified in the Department of African and Afro-American Studies emerged in *existing* courses. Questions regarding the validity and integrity of credit hours awarded to students enrolled in certain AFAM classes involved: (1) lecture courses that were taught in an independent study format, with no formal class meetings and little or no faculty contact; and, (2) independent study courses taught with limited faculty contact. This section describes actions taken to strengthen the University's ability to monitor how courses are delivered, increase the probability that any irregularities will be detected and addressed quickly, and ensure that students receive educational experiences commensurate with the credit hours attached to their courses.

UNC-Chapel Hill uses multiple sources of evidence -- as well as multiple methods -- to evaluate the extent to which the expected learning outcomes, student time and effort, instructor contact with students, and mode and format of instruction remain consistent with the credit hours for which the courses were originally approved. Deans, department chairs, program coordinators, and designated administrative staff within academic units all have responsibilities for ensuring that courses are taught consistent with the assigned level of instruction, meeting schedule, and type of instructional delivery. In addition, the Office of the University Registrar and other central offices in the University provide support services that enable campus officials to monitor courses and ensure the integrity of the credit hours assigned to them.

Course and Credit Hour Reviews as Part of Regular Program Evaluations

Curriculum Reviews. Course reviews are carried out as part of periodic program and curricular evaluations. For example, General Education curriculum requirements are reviewed on a regular basis by the [Administrative Board of the College of Arts and Sciences](#) and related committees. University policy requires a thorough examination of both credit hours and course expectations during this review process. (More information on this review is provided in the response to [Comprehensive Standard 3.4.5 "Academic Policies."](#))

Program Review. The [Program Review process](#) at UNC-Chapel Hill includes a lengthy self-study by the program's faculty, on-site evaluations by University and external faculty reviewers, and assessment of the courses offered in the curriculum. Individual courses and their credit hour assignments are reviewed to evaluate the extent to which important areas of the discipline or field are provided by the curriculum.

Accreditation Reviews. Nearly forty [specialized accreditation agencies](#) review individual academic programs and professional schools at UNC-Chapel Hill. Accreditation requirements in many fields specify minimum course credit hours and contact hours for subject matter that must be included in the curriculum. For example, accredited baccalaureate programs in Dental Hygiene require at least 654 clock hours of supervised clinical dental hygiene instruction. Many accrediting bodies in the health professions require programs to map expected competencies to specific courses and credit hour requirements in the curriculum.

Assessment of Student Learning Outcomes. Program faculty also use the ongoing assessment of student learning outcomes as another way to monitor the integrity of the credit hours assigned to their courses. Many

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programs collect student work products (often final exams or term papers) from specific courses -- or from a sample of senior-level/capstone courses -- which are assessed to determine the extent to which intended learning outcomes are being achieved. For example, assessment findings which reveal that seniors in the major are not demonstrating the levels of skills expected might be a possible indication that contact hours in lower-level courses in that discipline should be reviewed.

Additional Methods Implemented to Monitor the Integrity of Credit Hours Assigned to Courses

Reviews of Credit Hours in Relation to Instructional Activity Type

A critical prerequisite for maintaining the academic integrity of the credit hours awarded for courses at the University of North Carolina at Chapel Hill is the availability of valid, reliable data on all forms of instructional activity delivered. To monitor individual courses for compliance with credit hour policies, it is imperative that each credit-bearing activity be accurately categorized by course type.

The College of Arts and Sciences' 2011-2012 [Independent Study Task Force](#) reviewed all Fall 2011 undergraduate courses, their enrollments, the type of instructional delivery, and number of credit hours assigned. This analysis indicated that the University's system of numbering and labeling courses did not distinguish between different types of instructional activity with complete reliability. The Task Force determined that definitions of non-lecture instructional categories (such as independent study, practica, etc.) needed clarification, and recommended that all courses in the College be reviewed to ensure appropriate classification and renumbering as needed. For example, a review of undergraduate registrations for courses broadly defined in the Standard Course Numbering System as "independent studies" revealed that one-third (793 out of 2,355) were actually registrations for lecture courses incorrectly numbered as independent work. Of the remaining courses, less than nine percent of registrations were in courses correctly identified as traditional independent study. The others represented non-lecture formats that already have requirements and clear expectations for time and student contact with the instructor, such as honors thesis courses, undergraduate research courses, and service-learning courses.

The College of Arts and Sciences initiated this review of its undergraduate courses in the Summer of 2012, and is currently making corrections that will become effective with the Fall 2013 semester. The Executive Vice Chancellor and Provost is encouraging the deans of all other academic units in schools that offer undergraduate for-credit courses (Business, Education, Information and Library Sciences, Social Work, Dentistry, Allied Health Sciences, and Public Health) to examine their course classifications and numbering systems, and to make adjustments as needed.

Confirming Compliance with Class Meeting Schedules

As described in [Comprehensive Standard 3.9.2 "Student Records."](#) improvements made in UNC-Chapel Hill's administrative student information system are providing the University with much more consistent and complete information on course meeting locations. These improvements in data quality allow campus officials to implement new procedures to verify that lecture and other courses with standard class contact hour requirements are in fact meeting at the scheduled times. The Office of the Executive Vice Chancellor and Provost has committed resources to enable staff to visit published course locations to verify that instructors and students are physically meeting for class as scheduled.

Department/School Audits to Verify Consistency of Credit Hours with Course Requirements

The upgrades of the University's administrative student information system and reporting tools are providing academic departments with direct access to reports and detailed data on their own courses and enrollments. Previously, department faculty and staff did not have adequate access to course data to verify individual faculty course loads or enrollments. Standard reports and "dashboard views" are being designed for delivery in August 2012 to better enable deans and department staff to spot inconsistencies in credit hour assignments and class schedules.

The improvements made in the availability and quality of course and instructor data now provide both the Office of the University Registrar and the Office of Institutional Research and Assessment with the opportunity to generate reliable baseline data on course offerings and course-taking patterns across the University. New reports are being developed to sample courses with different instructional formats and credit hour values each semester for auditing purposes. For example, samples of independent study offerings can be provided to the College of Arts and Sciences to verify that approved learning contracts defining the academic work expectations for the credit hours to be awarded are on file as required.

At its [August 2012 meeting](#), the Educational Policy Committee will review for possible approval a set of syllabi guidelines for campus-wide adoption. This action will make it possible to conduct other audits to ensure that each course has a syllabus which clearly describes instructor-student contact hours and requirements for student work associated with the credit hours to be awarded.

Verification of Credit Hour Integrity by Students

Student feedback is another source of evidence that will be used to confirm the integrity of the credit hours assigned to courses at UNC-Chapel Hill. Beginning in Fall 2012, questions will appear on the University's standard Carolina Course Evaluation Instrument concerning the amount of time students spent in class and on out-of-class coursework, and how many times students met with the instructor outside of class. These data will be analyzed centrally to identify classes and/or instructors for which evaluation responses are inconsistent with the course type or credit hours awarded. Outliers will be flagged and referred to the appropriate dean for further investigation.

Training and Professional Development of Administrative Staff

The scheduling officers and student services managers assigned to set up classes for each academic term play an important role in maintaining institutional credit hour standards. [The Office of the University Registrar provides training for these staff members](#). Topics include [appropriate blocks of time](#) for various types of courses, and the need to maintain University requirements regarding credit hours (for example, that lecture courses and courses intended for first-year students must meet at least twice a week.) Only courses taught outside "prime-time" (before 9:30 a.m. and after 2:00 p.m.) can be scheduled for blocks of time that deviate from the standard 50-minute Monday-Wednesday-Friday or the 75-minute Tuesday-Thursday course standards. Training sessions now cover the new policies and procedures related to the maximum number of independent study sections that individual faculty can teach per semester, the documentation that must be on file for independent study registrations, and other initiatives designed to ensure the integrity of the credit hours awarded for courses at UNC-Chapel Hill.

References

[Resolution 2012-1. On Adopting the Federal Definition of the Credit Hour](#)

[Educational Policy Committee minutes January 25, 2012](#)

[SACSCOC Credit Hour Policy](#)

[Office of the Executive Vice Chancellor and Provost webpage](#)

[Faculty Governance webpage](#)

[Office of the University Registrar webpage](#)

[University Policy Memorandum 29: Definition of a Credit Hour](#)

[Academic Calendar: University Registrar](#)

[Contact Time](#)

[*The Academic Calendar; Undergraduate Bulletin*](#)

[HIST 84: Monsters, Murder, and Mayhem in Microhistorical Analysis: French Case Studies](#)

[ECON 101: Microeconomics](#)

[CHEM 101L: Quantitative Chemistry Laboratory](#)

[ENGL 496: Independent Studies](#)

[HIST 297: Academic Internship in History](#)

[SPAN 329: Spanish for Professional and Community Engagement \(Practicum\)](#)

[Senior Honors Thesis Guidelines](#)

[March 2012 SACSCOC Fifth Year Interim Report, Response to Comprehensive Standard 3.4.6 "Practices for Awarding Credit"](#)

[Response to Comprehensive Standard 3.4.5 "Academic Policies"](#)

[*General Education Requirements; Undergraduate Bulletin*](#)

[College of Arts and Sciences' General Education Criteria Document](#)

[University Policy Memorandum 8: Examination System](#)

[Burch Field Research Seminar - Proposal and Approval](#)

[English 105 - Proposal and Approval](#)

[Professionally-Designated Graduate Programs](#)

[Administrative Board of the College of Arts and Sciences](#)

[Program Review Manual](#)

[Accrediting Agencies Table](#)

[Independent Study Task Force Report](#)

[Response to Comprehensive Standard 3.9.2 "Student Records"](#)

[Educational Policy Committee Draft Agenda, August 2012 meeting](#)

[ConnectCarolina Schedule of Classes Training; University Registrar](#)

[Standard Class Times; University Registrar](#)

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Response to Questions Concerning Integrity of Degrees

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Additional Information Requested on the Integrity of Degrees at the University of North Carolina at Chapel Hill

Previous Special Report Responses to this Request for Additional Information:

The University's [October 12, 2012 response](#) to SACSCOC's August 21, 2012 request.

First Monitoring Report Response to this Request for Additional Information, March 8, 2013

In the January 15, 2013 letter to the University of North Carolina at Chapel Hill's Chancellor Holden Thorp, SACSCOC requested a First Monitoring Report addressing the following request for additional information concerning the Integrity of Degrees at the University of North Carolina at Chapel Hill:

"The institution did not provide sufficient evidence that it had addressed the breaches of academic integrity related to degrees that were awarded to students who were given credit for courses determined by the University to be 'aberrant,' beyond discussing the number of student credit hours listed on those transcripts and the inability to reconstruct degree requirement worksheets for those students. The institution should demonstrate its efforts to rectify the academic integrity of those degrees.

The institution indicated that internal and external investigations regarding academic integrity were ongoing at the time of its response. The institution should report on the results of these investigations and on the actions taken by the institution to address issues related to compliance with the *Principles of Accreditation*."

Efforts to Address Breaches of Academic Integrity

The University of North Carolina at Chapel Hill fully recognizes that accreditation and rigorous, on-going self-study and self-regulation are central to the integrity of its [mission](#), namely, "to serve as a center for research, scholarship, and creativity and to teach a diverse community of undergraduate, graduate, and professional students to become the next generation of leaders." The University has never wavered from its commitment to comply fully with all Core Requirements and Comprehensive Standards defined by the Southern Association of College and Schools Commission on Colleges (SACSCOC), all Federal Requirements overseen by SACSCOC, and the policies and regulations imposed by the UNC system Board of Governors and the UNC-Chapel Hill Board of Trustees. The University found itself responding to troubling revelations that called into question the sufficiency of the institution's academic policies; certain courses offered by the Department of African and Afro-American Studies; the accuracy and security of its student records; the academic services provided to students (in particular to student-athletes); and the validity of certain degrees that it awarded.

On each occasion when confronted by serious allegations of breaches of academic integrity, the University of North Carolina at Chapel Hill immediately recognized the need to investigate promptly and thoroughly, identify the causes and consequences of improper activity, develop measures to resolve issues raised by the investigation, and implement appropriate changes and safeguards to prevent future occurrences and begin to repair the institution's reputation—all the while remaining open and transparent about the process, cooperative with investigating bodies, and candid in its interactions with the UNC-Chapel Hill community and the public.

Internal Investigations and Reviews

In August 2011, the University notified the NCAA that potential academic issues had been identified involving student-athletes in courses offered by the Department of African and Afro-American Studies. The University invited the NCAA to join in an investigation of these issues, and the NCAA agreed. A member of the NCAA enforcement staff traveled to Chapel Hill several times in the fall of 2011 to participate in the joint review, which included interviews with faculty and staff in the Department, academic support counselors, and student-athletes who had taken multiple courses in the Department. Instances of inappropriate academic assistance identified through this review were referred to the University's Honor Court for further action. As publicly reported in August 2012, the NCAA staff and the University found no violations of NCAA rules or student-athlete eligibility issues related to courses offered by the Department. The University continues to keep the NCAA informed as developments warrant, including sharing with the NCAA a copy of the Academic Anomalies Review Report of Findings and Report Addendum prepared by former North Carolina Governor James G. Martin with assistance from Baker Tilly. The Report and Addendum are discussed in more detail below.

Four additional internal reviews were conducted to investigate and/or address concerns raised by disclosures that: 1) students had received credit for courses that never met; and 2) that a few student-athletes had received improper academic assistance. These reviews were as follows:

- [Academic Support Program for Student-Athletes \(ASPSA\) Planning Report](#), September 2011
This report, produced in September 2011, examined ways to better serve the academic needs of student-athletes following the relocation of the Academic Support Program for Student-Athletes from Kenan Fieldhouse to the Loudermilk Center for Excellence. The Loudermilk Center for Excellence opened in the fall of 2011 and serves all of UNC's nearly 800 student-athletes across all 28 varsity sports. Within Loudermilk, the John W. Pope Student-Athlete Academic Support Center provides classrooms for teaching and tutoring, advanced computer technology, a writing lab, reading rooms, and office space.
- [Independent Study Task Force \(ISTF\) Report](#), April 2012
The ISTF Report assessed independent study practices throughout the College of Arts and Sciences and produced recommendations for consistent policies college-wide that were fully implemented by the opening of the Spring 2013 Semester. Preparation for the implementation, including renumbering courses, developing and distributing the learning contract, and communicating the limits on the number of students who could be supervised by one faculty member occurred during the Fall 2012 Semester.
- [Review of Courses in the Department of African and Afro-American Studies](#), May 2012
The review of the Departmental-based offerings found 54 irregularly taught courses among 616 offered between summer 2007 and summer 2011. When the report was written, the first instance of fraud known to occur was in summer 2007 so the report began there and ended with the change of leadership in the Department.
- [Faculty Executive Committee \(FEC\) Report](#), July 2012
The Faculty Executive Committee examined the University's reviews of courses in the Department of African and Afro-American Studies, the Independent Study Task Force Report, and the ASPSA Planning Report. The Committee focused on identifying issues that contributed to the academic problems and making recommendations for the next steps in the reform process.

Together these four internal reviews set out seventy-two recommendations, all of which were assigned to a responsible party for evaluation. The attached matrices ([ASPSA](#), [Independent Study](#), [Review of Courses](#), and

[FEC](#)) provide considerable detail on the recommendations and the steps that have been taken to implement them.

It is important to note that neither the joint University-NCAA review nor any of the four internal reviews listed above found evidence that students received credit for courses for which they did no work.

External Independent Reviews

Three external reviews have also been completed. Two of these reviews were commissioned by Chancellor Holden Thorp and the UNC-Chapel Hill Board of Trustees and conducted by Baker Tilly Virchow Krause, a national management consulting firm specializing in academic operations procedures and controls, and/or former North Carolina Governor James G. Martin. Both reports were released in December 2012. The third external review was commissioned by UNC System President Tom Ross and conducted by a five-member Board of Governors Academic Review Panel, which released its findings in February 2013. These reviews were undertaken to ensure that nothing had been overlooked in the four internal reviews, and also to confirm that there were new policies and procedures in place to ensure that academic irregularities of this nature and extent could not happen again. The external, independent reviews were as follows:

- [Baker Tilly Review of Policies and Procedures](#), December 2012
Chancellor Holden Thorp and the Trustees retained Baker Tilly, a national management consulting firm specializing in academic operations procedures and controls, to assess the numerous new policies, procedures, and controls that the University implemented to strengthen academics in the Department of African and Afro-American Studies, the College of Arts and Sciences, and the Summer School. The review did not find any gaps in the implementation of the new policies and procedures.
- [Martin Academic Anomalies Review Report of Findings](#), December 2012
Chancellor Thorp also asked former North Carolina Governor James G. Martin to explore, with no restrictions, the time frame during which anomalous courses were offered in the Department of African and Afro-American Studies and whether anomalous courses had been offered in academic departments other than the Department of African and Afro-American Studies. Martin was assisted by Baker Tilly. The University cooperated fully and provided unfettered access to all available records. The report encompassed all courses taken by all undergraduates between 1994 and 2012.

Key findings in the Martin Report included:

- The anomalous courses discovered in the Department of African and Afro-American Studies began in the Fall 1997 Semester.
- No academic misconduct or anomalies were found in other academic departments or units outside the Department of African and Afro-American Studies.
- No evidence points to anyone's involvement in academic misconduct or anomalies other than: Professor Julius Nyang'oro, who resigned as the Department's chair in August 2011 and was forced to retire on June 30, 2012, and former Department administrator Deborah Crowder, who retired in 2009.

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- **Report Addendum to [Governor Martin's Academic Anomalies Review](#)**, January 2013
(Note: the Addendum provided additional data. It did not amend any content contained in the initial December 2012 report.) Martin, using additional data provided by Baker Tilly, affirmed the findings of his December 2012 report and offered additional information (i.e., detailing the enrollment composition of the questionable courses and unauthorized grade changes). The analysis includes specific course details, including average grades for student-athletes and non-athletes and factors affecting the clustering of students in class enrollments.

Key findings of the January 2013 Martin Report included the following:

- Student-athletes were not the primary beneficiaries of the anomalous course sections. All students had the opportunity to enroll in these courses, and a number of them did enroll in these courses.
 - Student-athletes comprised forty-five percent of the enrollment in 172 suspect courses in the Department of African and Afro-American Studies between 2001 and 2012. While some courses had no student-athletes and a handful had all student-athletes, the report found no consistent percentage of student-athletes on a course-by-course basis.
 - Both the original and the follow-up analysis showed a natural clustering in course enrollment among various student affiliations, including members of fraternities and sororities, students living in the same residence halls, and student-athletes.
 - Both student-athletes and non-athletes earned high grades in the suspect courses – a 3.56 and 3.63 grade-point average, respectively – a finding that Governor Martin attributed to grade inflation throughout institutions of higher learning in the United States.
 - Student-athlete enrollments related to anomalous courses and grade changes in the Department were reflective of patterns noted elsewhere in the Department and in other departments.
 - Student-athletes in these anomalous courses did receive changes in temporary grades, IN (incomplete) and AB (absent from the final examination), more often than non-athletes. Temporary grades involve situations in which work was not completed on time (for reasons including absence while representing the University or illness), so it is common practice for a temporary grade to be changed to a permanent grade when the work is turned in and graded. Also, an incomplete (IN) converts to an F* after 8 weeks into the next semester unless the necessary work is completed. A grade of AB converts to an F* on the last day of classes of the next regular semester.
 - This finding was not surprising because student-athletes must demonstrate compliance with NCAA and University-based requirements in order to compete with their teams. The findings also showed that student-athletes were not as likely to receive unauthorized changes in permanent grades as non-athletes.
 - **Consistent with the internal Review of Courses in the Department of African and Afro-American Studies, no evidence was found that students received grades for anomalous courses without doing any work in them.**
- **[UNC Board of Governors Academic Review Panel](#)**, February 2013
A five-member UNC Board of Governors Academic Review Panel was commissioned by UNC System President Tom Ross in July 2012 to review UNC-Chapel Hill's various responses to the academic irregularities. None of the members of the panel were alumni of UNC-Chapel Hill. The panel was asked to determine whether adequate steps had been taken to address the problems and to ensure that such academic problems could not happen again.

The panel interviewed twenty people (faculty, staff, and students), many on numerous occasions, and reviewed thousands of pages of material. Panel members spent hundreds of hours examining what occurred, and what the University did in response to the discovery of academic misconduct.

The Academic Review Panel presented its findings to the full Board of Governors in February 2013. Among its key findings were the following:

- The Academic Review Panel affirmed what UNC-Chapel Hill had found in the [2012 Review of Courses in the Department of African and Afro-American Studies](#) – that the course irregularities appeared to be traceable to the conduct of two former University employees. The Panel concluded that both the University’s internal investigations and the external reviews by Governor Martin and Baker Tilly were painstaking and thorough. They also concurred that the new policies and procedures in place were robust and likely to prove effective. Finally, the Academic Review Panel saw no grounds for undertaking additional forensic reviews of past enrollment and grading patterns.
- While the Academic Review Panel found it troubling that the anomalous courses in the Department of African and Afro-American Studies had been offered for so long without being detected, it blamed imperfect institutional processes and systems for the University’s failure to discover and put a halt to the practices. The Panel affirmed that the new University policies and procedures are designed to prevent such misconduct from happening again.
- The Academic Review Panel recommended that other institutions in the UNC system adopt measures similar to those that UNC-Chapel Hill has taken in order to detect any such problems on their own campuses. UNC system President Tom Ross had already directed that all system campuses with intercollegiate athletics programs locate programs such as the Academic Support Program for Student-Athletes inside academic affairs, rather than within a Department of Athletics.
- The Academic Review Panel stated that there may always be some questions about the academic misconduct that began at the University in 1997, but acknowledged that there will never be answers to all the questions.

SACSCOC Special Reports

The University of North Carolina at Chapel Hill has responded twice to requests from SACSCOC with extensive reports and documentation, first on August 2, 2012, and again on October 12, 2012. SACSCOC requested these reports and documentation after receiving “unsolicited reports,” many of which were provided by UNC-Chapel Hill as a means of keeping SACSCOC fully informed. For example UNC-Chapel Hill immediately provided the [NCAA Infractions Report](#) to SACSCOC when it was released on March 12, 2012, as well as the [Governor Martin](#) and [Baker Tilly Policy and Procedures](#) reports when they became available in December 2012.

Each time that the University of North Carolina at Chapel Hill has been asked for information for these formal reviews and investigations, it has responded as fully as possible without releasing confidential student data. And each time that the University of North Carolina at Chapel Hill has responded to SACSCOC, it has expressed sincere regret that the academic anomalies occurred and that they were not discovered sooner. The University has made it clear that it has taken strong measures to avoid similar circumstances ever occurring again. Not only were seventy-two recommendations from the four internal reports ([ASPSA](#), [Independent Study](#), [Review of Courses](#), and [FEC](#)) assigned to a responsible party(ies) for implementation, but new leadership is in place in certain key areas. This includes a [new director](#) of the Academic Support Program for Student-Athletes, who begins on May 6, 2013, as the result of a national search.

The seventy-nine Comprehensive Standards and the eleven Federal Requirements that SACSCOC uses as a basis for its decennial reviews (and the sub-set of those standards used for the five-year interim reviews) help guarantee academic integrity at all of its member institutions. So do the requirements set by [external accreditors](#) within each of the University’s professional schools and the select departments in the College of Arts and Sciences (Chemistry, City and Regional Planning, Dramatic Art, Exercise and Sport Science, and

Psychology). These standards and requirements have formed the ethical framework for both the external and internal reviews.

The internal and external reviews have involved broad participation from faculty leaders, University officials, and individuals who are not directly affiliated with the University. They generated numerous recommendations, mainly preventative and with monitoring requirements, many of which have already been implemented. All of the reviews, investigations, and reports have been made public, and the University has responded to hundreds of document requests from the media over the course of many months. The Chancellor has provided updates at every monthly Faculty Council meeting during the academic year, and an [Academic Review website](#)  containing all reports and University-related actions is updated regularly.

In short, the University of North Carolina at Chapel Hill can confidently assure students, faculty, and the public that the breaches of academic integrity discovered through an extensive and detailed review process have been significantly addressed and, insofar as is humanly possible, cannot easily recur.

The entire University of North Carolina at Chapel Hill community has also learned painful but important lessons from the challenging and time-consuming journey of the past three years. The academic integrity of the University depends on the integrity of each member of the community. As with any large enterprise that employs more than 12,000 individuals and serves approximately 30,000 students annually, problems can occur. Every member of the University community has the responsibility of ensuring that the day-to-day teaching, learning, scholarship, and service performed on the Chapel Hill campus meets the highest professional and ethical standards. The missteps of the few have had terrible consequences for the many.

This troubled time at the University of North Carolina at Chapel Hill has also demonstrated that faculty, students, administrators, alumni, and the public will energetically and persistently seek honest answers to difficult questions. The UNC-Chapel Hill community has worked diligently and collaboratively to repair breaches of confidence and trust. Countless individuals have contributed countless hours to the reviews and reform efforts of the past three years, in the belief that their institution deserves to have its outstanding reputation restored. The University of North Carolina at Chapel Hill matters, and its reputation having been tarnished, it has been worth the effort necessary to restore it.

Ensuring Academic Integrity at UNC-Chapel Hill

All the things the University does -- hiring faculty and validating their credentials before they begin teaching students, carefully reviewing courses before they can be taught for the first time, scrutinizing degree requirements for majors and minors and degree programs, applying for grants and fellowships, and soliciting alumni for their support -- are central to the mission of UNC-Chapel Hill and its integrity.

Public higher education began in Chapel Hill in 1793, and for more than two hundred years Carolina has symbolized the importance of education in a democratic nation. It remains a place defined by those values, a place of “freedom and liberty and tolerance, the search for truth, the defense of dignity, courage to arrive freely at convictions, and the personal courage to stand for those hopes and truths,” as former North Carolina Governor Terry Sanford stated in 1987.

- UNC-Chapel Hill is ranked first among the 100 best U.S. public colleges and universities that offer students high-quality academics at an affordable price, according to *Kiplinger's Personal Finance Magazine*. It ranks 42nd among the world's top 400 universities in 2012-2013, according to the London-based *Times Higher*

Education magazine. Carolina belongs to the select group of leading American and Canadian campuses forming the Association of American Universities.

- UNC-Chapel Hill offers 77 bachelor's, 109 master's, 66 doctoral and six professional degrees in academic areas critical to North Carolina's future: business, dentistry, education, law, medicine, nursing, public health, and social work, among others. Health sciences are well integrated with the liberal arts, basic sciences, and high-tech programs. Patient outreach programs affiliated with Carolina and the UNC Health Care System serve citizens in all one hundred North Carolina counties.
- In 2010-2011, the University awarded 7,629 degrees: 4,566 bachelor's, 1,947 master's, 465 doctoral, and 651 professional degrees. In Fall 2012, Carolina enrolled 3,914 first-year students from a record 29,497 applications. The current student body totals 29,278.
- Students learn from 3,221 full-time faculty members. Many of these faculty members hold or have held major posts in a wide variety of national scholarly and professional organizations, and have earned election to the most prestigious academic academies and organizations. Faculty members attracted more than \$767 million in total research grants and contracts in fiscal 2012 for research that is helping to cure diseases and produce new knowledge to help people. Excluding federal stimulus support, research funding totaled \$759 million in that category, compared with \$732 million last year. The steady growth of research funding over the past decade and a half is a tribute to the success of the faculty and our multidisciplinary approach to advancing knowledge.
- Carolina's 286,707 alumni live in all 50 states and more than 140 countries. More than 152,000 of those alumni live in North Carolina. The University received \$287.4 million in gifts from loyal alumni and friends in fiscal 2012. The total marked the University's second-best year in history and topped the previous fiscal year's total of \$277 million—then the second-highest total—by four percent.
- Carolina's academic community benefits from a library with 7.2 million volumes and 92,483 serial titles, which perennially ranks it among the best research libraries in North America according to the Association of Research Libraries.
- Since the U.S. Rhodes Scholar program began in 1904, forty-eight UNC-Chapel Hill students have been selected (including those who won in Canada). Carolina ranks first among all U.S. public research universities for producing the most Rhodes Scholars for the past five, ten, and twenty-five years. The University also leads the roster of Henry Luce Foundation Scholars among all colleges and universities.

Strengthening Academic Integrity at UNC-Chapel Hill

New Initiatives in the Academic Support Program for Student-Athletes

- The Academic Support Program for Student-Athletes (ASPSA) has been reorganized, the "dotted-line" reporting relationship to the Department of Athletics has been eliminated, and a new leader for the program begins on May 6, 2013.
- The provision of academic advising for student-athletes has been clarified. All undergraduate students, including student-athletes, are assigned a primary advisor in the Academic Advising Program. The Academic Support Program for Student-Athletes has a separate mission, to support and inspire student-athletes in their pursuit of academic success.
- The Summer Bridge Program, established in 1980, is a six-week program intended to help entering first-year students make a successful transition from high school to college. It has been expanded to include student-athletes in summer 2013.
- Faculty members have been added to the advisory committee of the Academic Support Program for Student-Athletes, and the Faculty Athletics Committee has made reports on the ASPSA at each of the monthly Faculty Council meetings.

New Initiatives in the Department of Athletics

- The Department of Athletics has adopted and is implementing a [strategic plan](#).
- The Department of Athletics has been reorganized and has hired two additional full-time professional staff members:
 - [Vince Ille](#), Senior Associate Athletic Director / Compliance / Student Services, now serves as a liaison with academic advising and counseling for student-athletes, with the clear understanding that academic functions are independent of athletics.
 - [Paul Pogge](#), Associate Athletic Director / Risk Management, now coordinates eligibility, NCAA Academic Progress Reports (APR), and risk assessment.

New Initiatives and Wide-Ranging Improvements in the Department of African and Afro-American Studies, the College of Arts and Sciences, the Office of the University Registrar and the Summer School

- The Department of African and Afro-American Studies has entirely new leadership and a new governance structure, as well as new policies and procedures for independent studies.
- The Chair of the Department of African and Afro-American Studies, [Professor Eunice Sahle](#), has developed a vision for the Department that further strengthens the excellent teaching, research, and service being done by its faculty.
- The University Registrar has worked with the Educational Policy Committee and the Faculty Council to enact and implement stronger and more consistent policies for examinations, grading, and [course syllabi](#).
- The College of Arts and Sciences has implemented a series of new policies and best practices for [independent study](#) in all of its academic departments. The Educational Policy Committee has recommended that these policies and best practices be adopted University-wide by all units that have undergraduate degree programs.
- The College of Arts and Sciences has instituted an annual process for reviewing teaching assignments and enrollments in every academic unit.
- The College of Arts and Sciences now conducts annual reviews of unit chairs, in their administrative capacity. (Note: in their role as faculty members, they have always been subject to annual reviews.)
- The Dean of Summer School has implemented new policies concerning contracts for instructors and monitors enrollments and teaching assignments.
- ConnectCarolina, the University's centralized records and registration system, enables stronger monitoring. It also enforces the routing and security of student records and grading processes.

The Integrity of Degrees Awarded In “Type 1” (Aberrant) Courses

UNC-Chapel Hill has responded to frequent and recurrent questions about the integrity of the credit earned by students who enrolled in the courses that were considered the most serious instances of academic misconduct, Type 1 courses, as identified in [Governor Martin's Academic Anomalies Review Report of Findings](#). (The Martin Report incorporated all of the “aberrant” courses identified in the [Review of Courses in the Department of African and Afro-American Studies](#) into the Type 1 category.) In this context, Type 1 refers to a lecture course section in which the faculty member listed as instructor of record denied teaching the course section and signing the grade roll, or one in which the chair stated that the course section had not been taught.

Statistics for Type 1 Courses

The [Academic Anomalies Review Report](#) (Martin Report, December 2012) identified 39 Type 1 course sections offered in the Department of African and Afro-American Studies between the 1997 Fall academic term and the 2009 Summer II term. Of this group, there were 460 registrations for 384 different students. (Each of 48 students took two courses, nine students took three courses, and three students took four courses.)

Additional analysis concerning the 384 students involved in the anomalous courses shows that:

- 298 students (77.60%) received baccalaureate degrees from UNC-Chapel Hill; six students were pursuing post-baccalaureate degrees; 80 students have not yet completed graduation requirements.
- The 298 baccalaureate-degree recipients completed their degrees with an average of 128.84 credit hours; their range was 120 (64 students) to 185 (1 student). A minimum of 120 credit hours is required for graduation with a bachelor of arts degree.
- Of this group of 298 degree recipients, 114 students (38.26%) needed the Type 1 course to reach the 120 degree requirement for graduation. (See the table below.)
- Within the number of baccalaureate degrees awarded each academic year, the percentages of students who enrolled in a Type 1 course and needed that course to meet graduate requirements is small, and in all cases is less than one percent.

Academic Year	Bachelor's Degrees Awarded	Count	%
2011-2012	4,426	1	0.0226%
2010-2011	4,622	2	0.0433%
2009-2010	4,418	1	0.0226%
2008-2009	4,333	6	0.1385%
2007-2008	4,189	9	0.2148%
2006-2007	3,888	15	0.3858%
2005-2006	3,896	32	0.8214%
2004-2005	3,940	29	0.7360%
2003-2004	3,706	3	0.0809%
2002-2003	3,817	2	0.0524%
2001-2002	3,560	1	0.0281%
2000-2001	3,477	4	0.1150%
1999-2000	3,444	2	0.0581%
1998-1999	3,406	6	0.1762%
1997-1998	3,669	1	0.0273%
Totals:	58,791	114	0.1939%

Number of students needing a Type 1 course to reach 120 credit hours

It is simply not the case that hundreds of registrations by students were for anomalous courses. On the [attached chart](#), the number of enrollments and students in Type 1 courses by year and term is compared with total headcount of undergraduates. The total registration between Fall 1997 and Spring 2009 was 607,832; the registration of students in Type 1 courses was 460, or seven one-hundredths of one percent.

Thirty-nine (39) courses in the Martin Report were identified as Type 1. As the [attached chart](#), "Number of Type 1 Course Sections by Academic Year and Term, Compared with Total Course Sections" shows, the thirty-nine

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courses that have been labeled Type 1 out of 123,450 offered during that time, are the equivalent of three one-hundredths of one percent.

Of the group of 384 unique students, eighty (20.83%) have not yet completed requirements for graduation. Within this group of eighty, forty-four are in good standing and thirty-six are currently academically ineligible. The majority of these students continue to make progress toward their degrees, including the students who are academically ineligible. (Both Summer School and Carolina Courses Online provide options for restoring academic eligibility.)

The 384 unique students who took a Type 1 course majored in a variety of disciplines. Sixty-two had a first major, and nineteen a second major, in African and Afro-American Studies. Other majors include Communication Studies, Exercise and Sport Science, History, Journalism and Mass Communications, Management and Society, Political Science, and Psychology. The [attached table](#) identifies all of the majors for the 298 students who took a Type 1 course on their path to receiving an undergraduate degree.

173 of the 384 (45%) individual students who took a Type 1 course were student-athletes. The student-athletes were members of various teams, as follows: baseball (15), football (88) [1 student was added to the team after matriculation and 1 student left the team], field hockey (2), junior varsity basketball (1), men's basketball (21), men's cross country (1), men's golf (4), men's lacrosse (3), men's swimming (1), men's tennis (8), men's track (2), softball (2), women's basketball (12), women's golf (2), women's lacrosse (2), women's soccer (3), women's track (3), women's volleyball (1), and wrestling (2). A distribution of graduates and non-graduates by sport is found in the [attached document](#).

All of the evidence that has been found – as initially reported in the [Review of Courses in the Department of African and Afro-American Studies](#) and subsequently reiterated in [Governor Martin's Academic Anomalies Review Report](#) and the [Board of Governors Academic Review Panel](#) -- indicates that students were required to write lengthy papers in the Type 1 courses and did what they were asked to do. In every case where the University looked for evidence of work, evidence was found - often including drafts or final versions of the papers themselves. None of the investigations found evidence that students received credit for courses for which they did no work.

The University believes that it would be an injustice to punish these undergraduate students for the inappropriate actions of one faculty member and one department administrator, neither of whom work at UNC-Chapel Hill any longer.

The ability to fully reconstruct degree requirement worksheets for all these students has been difficult, due to the amount of information available and University policies concerning retention and disposition of student records.

- Pursuant to University policy, transcripts are considered “frozen” one year to-the-date after a student receives a degree. As the [University policy](#) states: “Adjustments may be made to a transcript only for one year following the date of graduation.”
- The University's Records [Retention and Disposition Schedule](#) limits the types of materials that are kept permanently and made available. The policy is maintained by UNC-Chapel Hill's University Archives and Records Management Services.
- Under the University's Records Retention and Disposition Schedule, student coursework is to be retained by a faculty member or department for one year. The full retention policy (Section 14.8) [states](#): “Destroy in office examinations, tests, term papers, and homework one year after completion of course for uncontested grade results. If challenged, destroy after resolution of challenge.” Also, “This series may include but is not

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limited to: completed student examinations, tests, term papers, course work, and related documentation and correspondence.” The policy also states that “Faculty members who leave the University should deposit grade records (generally for two years) with the department chair before departing.”

- A syllabus is to be provided to students no later than the first day of class and retained by the respective department or educational unit of the University for a period of at least four years (the general life cycle of an undergraduate student). Section 2.11 gives the [following instructions](#) for course syllabi: “Disposition Instructions: Destroy in office when reference value ends.”

Despite these obstacles, much information remains available and will be shared with the SACSCOC review team when it visits the Chapel Hill campus. The contents of official academic records contain so much protected student information that they cannot be provided in the body of this response. Redacting them would render them useless.

Degree requirements have been reconstructed for each of the 114 students who needed one or more Type 1 course to reach the 120 hours required for graduation, and degree-progress worksheets have been updated for the 80 students (20.83%) who have not yet received degrees. Among these students were some who entered the University more than twenty years ago, but every effort has been made to obtain relevant information. Requirements published in the annual editions of the *Undergraduate Bulletin* were followed, and worksheets maintained by the full-time staff in the Graduation Division of the Academic Advising Program were consulted.

A review of these reconstructed academic worksheets indicates that all of the 298 students who received baccalaureate degrees at UNC-Chapel Hill met the graduation requirements set by the University – and in many cases exceeded them. The existing documentation and reconstructed information suggests that, while their educational experience was inexcusably compromised by the absence of customary faculty contact in the anomalous courses, students were assigned academic work in the Type 1 courses and they did the work assigned. As stated in the [Review of Courses in the Department of African and Afro-American Studies](#), “[n]o instance was found of a student receiving a grade who had not submitted written work. No evidence indicated that student-athletes received more favorable treatment than students who were not athletes.”

When Senior Associate Deans Jonathan Hartlyn and William Andrews wrote the [Review of Courses in the Department of African and Afro-American Studies](#), they personally reviewed available records, including grade changes that were submitted on Official Grade Change Forms. These forms provided letter grades as replacements for temporary grades (IN or “Incomplete” and AB or “Absent from the Final Examination”), but it is unclear who authorized the conversion of temporary grades to permanent grades or on what basis. It is important to note, however, that since the end of Summer Session II 2009 no unauthorized change of grade forms or unauthorized faculty signatures have been identified. Given that almost three years had elapsed since the bulk of these grades were changed, Senior Associate Deans Hartlyn and Andrews concluded that “there is not a fair and consistent way to reconsider the permanent grades assigned to these students.”

Baker Tilly, as part of their work with Governor Martin, also reviewed numerous grade change forms and verified many of them with faculty members. Their analysis was not able to be as precise as that conducted by Senior Associate Deans Hartlyn and Andrews due to time constraints, somewhat less access to faculty members, and the lack of legible documents (many of them on microfilm created five to fifteen years ago).

Conclusion

The University of North Carolina at Chapel Hill acknowledges that an unprofessional and unethical set of circumstances occurred between 1997 and 2009, but it does not believe that credit was awarded for courses for which students did no work, or that degrees were awarded to students who did not earn them.

Even so, the University wants to offer an additional course to any current or former student (including alumni) who feels that, by enrolling in a Type 1 course, they were prevented from having the full Carolina experience. This arrangement will apply to any of the 384 students who enrolled in a course offered by the Department of African and Afro-American Studies between 1997 and 2009 and identified as Type 1 in Governor Martin's Report. The following provisions will be made:

- Tuition and fees **for one course** will be covered by the University during the next five years, beginning with the Fall 2013 Semester through Summer Session II in 2018. (Textbooks and other related/required materials will be the responsibility of the student, as is housing and transportation to campus.)
- Any course for which pre-requisites are satisfied can be taken (not limited to courses offered by the Department of African and Afro-American Studies) provided space is available.
- Registration for a face-to-face course is preferable, since most Type 1 courses have been labeled inappropriate because they were offered without appropriate instructor contact. But other courses (self-paced, Carolina Courses Online, etc.) may be possible.
- Students must participate fully in the class by taking all examinations, writing all papers, and participating in discussions. Participation in the class will be noted on the transcript, but the course will not be for credit and no grade will be awarded.
- The University will develop a mechanism to make courses available under the terms set out above by July 1, 2013.

The University of North Carolina at Chapel Hill is confident in the integrity of the degrees it awards.

We look forward to your visit and to discussing these matters with you in more detail.

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[General Records Retention and Disposition Schedule for The University of North Carolina at Chapel Hill and the University of North Carolina General Administration](#)

[General Records Retention and Disposition Schedule for The University of North Carolina at Chapel Hill and the University of North Carolina General Administration, Section 14.8: Examinations, Tests, Term Papers and Course Work Records](#)

[General Records Retention and Disposition Schedule for The University of North Carolina at Chapel Hill and the University of North Carolina General Administration, Section 2.11: Syllabi and Outlines Records](#)

Response Concerning the Integrity of Degrees at the University of North Carolina at Chapel Hill

The University of North Carolina at Chapel Hill fully recognizes that accreditation and rigorous methods of self-study and self-regulation are central to ensuring the quality of instruction and the integrity of its mission. UNC-Chapel Hill is in compliance with all Comprehensive Standards defined by the Southern Association of Colleges and Schools Commission on Colleges (SACSCOC) and all Federal Regulations regarding academic integrity. These standards pertain to the following areas: principles of governance and mission; credentials held by the faculty, staff, and administration; course offerings and degree programs; budget; facilities; and all aspects of student learning. As with any large enterprise that has more than 12,000 employees and serves approximately 30,000 students annually, problems can occur. Whenever problems are recognized, they are thoroughly investigated, methods to resolve them are identified, and decisions are arrived at and implemented in a prompt and forthright manner.

Decisive action was taken by the UNC-Chapel Hill administration following the discovery in August 2011 that academic irregularities had occurred in the Department of African and Afro-American Studies. A comprehensive study of courses in the Department was commissioned by [Karen Gil](#), Dean of the College of Arts and Sciences, with the results voluntarily released to the public in May 2012. Personnel changes were made: Julius Nyang'oro, the former Department chair, resigned as chair in August 2011; an interim chair was appointed immediately and a new chair took office on January 1, 2012; and Professor Nyang'oro was forced to retire from the University at the end of the 2011-2012 academic year. A new governance structure is in place in the Department, and a national search has been launched for a new Director of the Academic Support Program for Student-Athletes. The University of North Carolina at Chapel Hill Board of Trustees, University of North Carolina President Thomas W. Ross, and the leadership of the University of North Carolina Board of Governors have been kept informed throughout the process.

The many distinguished accomplishments of students, faculty, and staff at the University of North Carolina at Chapel Hill have at times been overshadowed by the revelations of past inappropriate academic activities by a few individuals. At the same time, the work of the University to achieve its educational mission has continued. As Chancellor Holden Thorp noted in a [recent letter to the University community](#): "Student applications are up by 24 percent. Our faculty has made us a top 10 university in research funding. We have made excellent progress with faculty retentions. More alumni and friends made gifts to the University last year than ever before. We have pulled the campus through the financial crisis, emerging as a stronger institution."

Summary of Efforts to Address Breaches of Academic Integrity

UNC-Chapel Hill has not only conducted its own internal reviews, but has also cooperated with several ongoing external reviews of academic integrity at the University. In every case, the University has been committed to examining what went wrong and to implementing new and stronger safeguards. An [Academic Review website](#) containing all reports and University-related actions is updated regularly (<http://academicreview.unc.edu/news/>).

- [Review of Courses in the Department of African and Afro-American Studies](#). A review conducted by Senior Associate Deans Jonathan Hartlyn and William Andrews examined the 616 courses taught in the Department from summer 2007 through summer 2011. The investigation identified 54 courses that were defined in the May 2012 Report as being taught [irregularly](#); within this group 9 courses were described as [aberrant](#). The aberrant courses involved 58 different students out of a total of 14,234 student registrations for the 616 courses studied. A course, AFAM 428, taught during Summer Session II in 2007, was the first one brought to the University's attention. The review by Deans Hartlyn and Andrews focused on course offerings from that point forward for a period of four years.
- [Report on the Academic Support Program for Student-Athletes \(ASPSA\)](#). This September 2011 report recommended ways for the University to more effectively serve the academic needs of student-athletes.
- [Independent Study Task Force Report](#). Conducted during the 2011-2012 academic year, this assessment of independent study practices throughout the College of Arts and Sciences produced recommendations for more consistent policies for independent study courses. The April 10, 2012 report's recommendations are being implemented in the 2012-2013 academic year. In addition, in August 2012, Provost Bruce W. Carney asked the Faculty's Educational Policy Committee to consider whether the recommendations in the report should be adopted campus-wide. This review is ongoing.
- [Faculty Executive Committee Report](#). In early summer 2012 a three-member subgroup of the Faculty Executive Committee evaluated the Hartlyn-Andrews [Review of Courses in the Department of African and Afro-American Studies](#), the [Independent Study Task Force Report](#), and the [Report on the Academic Support Program for Student-Athletes](#). The Faculty Executive Committee report released on July 26, 2012, sought to identify areas of continuing faculty concern and to make recommendations to University officials on how best to address the problems.
- [Review by the UNC System Board of Governors](#). A five-member panel of the UNC Board of Governors began its own review in July 2012 to assess whether the steps taken by UNC-Chapel Hill were strong enough to protect the University's academic integrity and prevent a similar situation from happening again. This review is ongoing.
- [Independent review by James G. Martin](#). In August 2012, James G. Martin, a former Governor of North Carolina and a retired professor at Davidson College, was engaged by the University to conduct an independent review of academic irregularities. Governor Martin's review is being assisted by Baker Tilly Virchow Krause, LLP, a national management consulting firm. Governor Martin has been given free rein to investigate any issues he deems relevant. With the aid of Baker Tilly Virchow Krause, LLP, one issue on which Governor Martin will focus will involve attempting to determine when the problems in the Department of African and Afro-American Studies may have commenced. Governor Martin will provide his findings to the UNC-Chapel Hill Board of Trustees and to the UNC Board of Governors panel. Baker Tilly Virchow Krause, LLP, is also reviewing the new academic performance policies, procedures, and controls that have been implemented by the University to ensure that these internal controls are robust enough to prevent similar difficulties in the future.
- [Relationship between athletics and academics](#). Several University reports have suggested that the complicated relationship between academics and athletics should be comprehensively analyzed by an independent outside entity. Hunter R. Rawlings, III, President of the Association of American Universities (AAU), has agreed to help UNC-Chapel Hill examine the appropriate future relationship between academics and athletics at the University. Once Governor Martin and Baker Tilly Virchow Krause, LLP have completed their independent review and after the Board of Governors' panel finishes its own work, President Rawlings will begin his study.

The authors of the [Review of Courses in the Department of African and Afro-American Studies](#) consulted with officers in the UNC Department of Public Safety (who in turn contacted the District Attorney and the State Bureau of Investigation) regarding allegations by some professors in the Department that their signatures had been forged on grade rolls and grade change forms. At that time the University was advised that the incidents did not amount to criminal activity. On May 14, 2012, Chancellor Thorp issued the following statement: "After consulting with President Ross on Friday, I directed our public safety department to contact the SBI again, this time to seek their help in reviewing potential criminal activity related to the way in which Professor Nyang'oro

conducted and was paid for a 2011 summer school course. We also pledged to cooperate fully with the SBI [State Bureau of Investigation]." The SBI review is ongoing.

Summary of Changes Being Implemented

On June 8, 2012 Chancellor Thorp reiterated his commitment to strengthening faculty oversight and addressing academic irregularities. "Throughout our investigation of these questionable courses, the University has taken strong and decisive action as the facts warranted." Thorp also stated: "We...voluntarily released the report documenting the questionable courses. The two people implicated in these irregularities are no longer at the University. We appointed new leadership in the [D]epartment. The College of Arts and Sciences has new policies and strict new procedures for independent study courses. And we contacted the NCAA last summer when questions about the courses first arose."

Programmatic changes made in response to the problems identified in the course of the reviews highlighted above include the following:

The College of Arts and Sciences and the Department of African and Afro-American Studies

The Department of African and Afro-American Studies, the other departments and curricula in the College of Arts and Sciences and the Summer School have all established new policies and procedures in order to better detect and prevent any academic irregularities in the future:

- The College of Arts and Sciences has implemented a series of reforms concerning independent study in all of its academic departments and curricula.
- The College of Arts and Sciences now conducts an annual review of all teaching assignments and enrollments in each of its academic departments and curricula. The annual review will next occur in February 2013; it began in 2012.
- The Department of African and Afro-American Studies has entirely new leadership and a new governance structure, as well as new policies and procedures for independent studies. The new chair, Professor Eunice Sahle, has a long-range plan for the Department that will further strengthen the excellent teaching, research, and service being done by its current faculty. The Department of African and Afro-American Studies has implemented stronger and more consistent policies for exams, grading, and course syllabi.

Improvements in Summer School and the Office of the University Registrar

- The Summer School has implemented new policies for monitoring course offerings and enrollments.
- ConnectCarolina, the University's new centralized database, now enables stronger monitoring and tracking of student records and grades. A new online submission and tracking system is being developed for changing grades -- both for permanent grades (according to established University policies) and for temporary ones, which include "AB" (Absent from the Final Examination) or "IN" (Incomplete) grades awarded at the end of a term.

Academic Support Program for Student-Athletes

- The Academic Support Program for Student-Athletes (ASPSA) is being reorganized and a new leader is being recruited. The College of Arts and Sciences is in the process of reorganizing the Academic Support Program for Student-Athletes following the recommendations in the [2011 report](#), and has launched a national search for a new director. Steven Matson, Dean of The Graduate School, is chairing the search. The new director will report solely to the College of Arts and Sciences and will have full authority to manage the program's budget. Harold Woodard, Associate Dean and Director of the Center for Student Success and Academic Counseling, was appointed Interim Director of the Academic Support Program for Student Athletes on August 15, 2012.
- The Academic Advising Program is being expanded. All students at UNC-Chapel Hill, including student-athletes, are assigned a primary academic advisor through the College's Academic Advising Program. Two new positions are being added to the Academic Advising Program, effective January 1, 2013, in order to provide more specific academic advising for student-athletes.
- The relationship between the Academic Advising Program and the Academic Support Program for Student-Athletes will be better coordinated. The College of Arts and Sciences is now responsible for both the Academic Advising Program and the Academic Support Program for Student-Athletes. The College is also improving its training and supervision of academic advisors in the Academic Advising Program and academic counselors in the Academic Support Program for Student-Athletes, to foster better coordination and communication between the two units and to better define the roles and responsibilities of each.
- The Summer Bridge Program will be expanded. The College will expand its successful summer residential academic support program, Summer Bridge, to incorporate student-athletes into the program prior to their first regular fall semester. Many of the participants in the Summer Bridge Program come from small, rural communities, and thus need additional assistance to help them make a smooth personal and academic transition from the high school experience to life on the campus of a major American research university.
- Faculty involvement in athletics is being strengthened. The relationships among the Faculty Advisory Committee for the Academic Support Program for Student-Athletes, the Faculty Athletics Committee, and the faculty representative to the Atlantic Coast Conference and the National Collegiate Athletic Association are being strengthened. Professor Joy Renner, the chair of the Faculty Athletics Committee, Professor Abigail Panter, chair of the Faculty Advisory Committee for the Academic Support Program for Student-Athletes, and Professor Lissa Broome, the faculty representative to the ACC/NCAA, are meeting together regularly to discuss how they and their committees can better ensure academic integrity and full integration of student-athletes into the life of the University. The University recognizes that faculty members need to be active participants in these discussions, and full partners in setting University policy regarding student-athletes.

Department of Athletics

Director of Athletics Lawrence "Bubba" Cunningham and College of Arts and Sciences Dean Karen Gil are working collaboratively to strengthen and clarify the connections between academics and athletics on the Carolina campus. Athletic Director Cunningham recently completed a comprehensive analysis of his department and has reorganized units to streamline the reporting lines.

Impact of Aberrant Courses in the Department of African and Afro-American Studies

The College of Arts and Sciences is the largest academic unit on campus with more than seventy academic departments, curricula, centers, and programs. At UNC-Chapel Hill, all of the fine arts and humanities, social sciences, and natural sciences departments are administered together in one academic unit. There are approximately 1,000 faculty and over 18,000 undergraduate and graduate students in the College, which

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teaches 86% of the credit hours offered annually at the University. More than 8,000 courses were offered last year in the College.

Faculty members collectively, and via elected and appointed designees, set the requirements for degrees (adhering to policies set by the Faculty Council, the UNC-Chapel Hill Board of Trustees, the UNC Board of Governors, the U.S. Department of Education, and SACSCOC). In some cases the academic standards at UNC-Chapel Hill exceed the minimums set by SACSCOC (for example, in the number of and distribution of general education requirements).

At UNC-Chapel Hill, individual faculty members define the expectations for completing each course that they teach, following a general set of guidelines set forth by the Faculty. These guidelines may be found in both [The Undergraduate Bulletin](#) and [The Graduate Record](#) in a section, "Suggested Classroom Procedures," which states in part: "In general, instructors are strongly encouraged to follow the guidelines for course design and classroom procedures recommended by the Center for Faculty Excellence. When students enter into a learning relationship, they have certain needs and expectations. They are entitled to information about course procedures, content, and goals. Instructors should provide a syllabus that describes the course and methods of evaluation. Particular attention should be paid to several areas of special concern to students, including provision of reserve readings and grading policy."

In addition, Faculty Council [Resolution 2003-5](#), "On Faculty Responsibilities in Relation to the Honor Code," further defines the nature of academic work at the University. It states: "Whereas faculty members and students at the University of North Carolina at Chapel Hill share a commitment to the pursuit of truth and the dissemination of knowledge to succeeding generations of citizens devoted to the high ideals of personal honor and respect for the rights of others; and whereas these goals can only be achieved in a setting in which intellectual honesty and personal integrity are highly valued; others are trusted, respected, and fairly treated; and the responsibility for articulating and maintaining high standards is widely shared; and whereas the University can effectively set and maintain high standards for academic integrity only through the individual and collective commitment of its faculty to this end; and whereas the Faculty Council, on behalf of the faculty, wishes to provide renewed guidance to colleagues on how best to achieve this important objective; now therefore the Faculty Council resolves: Academic work is a joint enterprise involving faculty and students. Both have a fundamental investment in the enterprise and share responsibility for ensuring its integrity."

The tradition of self-governance at UNC-Chapel Hill dates to 1875, when students first pledged 'not to lie, cheat, or steal.' The [Instrument of Student Judicial Governance](#) provides students with both rights and responsibilities. The responsibilities are included in [Appendix A](#) of the *Instrument of Student Judicial Governance*.

Both faculty members and students have responsibilities in the academic enterprise at the University, but the professor is the one who creates expectations for assignments and examinations, readings and participation, and course content and learning objectives for students who enroll. In cases where the instruction is inconsistent, irregular or aberrant, the faculty member is the one held responsible – not the student. In addition, it is a faculty responsibility to identify plagiarism and other forms of classroom-based academic misconduct when grading and reviewing submissions from students. Faculty members are required to report violations at the time they occur by following established procedures, rather than waiting until after a course grade has been submitted or a degree has been awarded.

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The [Review of Courses in the Department of African and Afro-American Studies](#) identified 54 [irregularly](#) taught courses among the total of 616 offered in the Department from summer 2007 through summer 2011. Of this group, nine courses were identified as being [aberrant](#), involving 59 registrations for 56 different students (each of three students took two of these aberrant courses).

Additional analysis in Fall 2012 by the contributors to this report concerning these 56 unique undergraduates shows that:

- 30 have received baccalaureate degrees from UNC-Chapel Hill; 2 more will graduate in December 2012 for a total of 32 graduates.
- The 30 degree recipients completed their degrees with an average of 131.34 credit hours; their range was 120 (4 students) to 151 (1 student). (A minimum of 120 credit hours is required for graduation with a bachelor of arts degree.)
- 24 students will not be eligible for graduation by the end of the current semester; of these 12 are in good standing and 12 are currently academically ineligible. The majority of these students continue to make progress toward their degrees, including the students who are academically ineligible.
- 47 of the 56 individual students were student-athletes. One was a former student-athlete and eight were not student-athletes.
- The 47 student-athletes* were members of various teams, as follows: football (31), men's basketball (8), wrestling (2), women's basketball (2), track (1), men's lacrosse (1), field hockey (1), women's soccer(1).
- The distribution of majors among the 56 individual students was as follows: African and Afro-American Studies (24; 28 counting double majors), Communications Studies (16; 3 double majors with AFAM), Sociology (3), Exercise and Sport Science (3; 1 double major with AFAM), Biology (2; 1 double major with AFAM), History (2), Mathematics (2; 1 double major with AFAM), Economics (2), Global Studies (1 with African emphasis), and Chemistry (1 with AFAM minor).

**Note: Among the students registered for these classes are several student-athletes who left UNC-Chapel Hill early to pursue careers in professional athletics. Several of them retain their good standing and continue to enroll in courses (during summer and in Carolina Courses Online) to make progress toward their degrees. This is the case even when their enrollment no longer impacts the University's NCAA Academic Progress Report (APR), demonstrating their commitment to completing their education by earning their undergraduate degree.*

A review of [Total Credit Hours and Mean GPA, comparing AFAM Majors and Non-AFAM Majors](#) who graduated between 1997-1998 and 2011-2012, shows modest variation between the two groups:

- AFAM majors graduated with mean total credit hours ranging from 127.3 to 135.5 and with a mean cumulative GPA between a 2.63 and a 2.95.
- Non-AFAM majors had a range of mean total credit hours between 130.2 and 134.7 credit hours and mean cumulative GPAs between 3.05 and 3.24.

While a review of [Total Credit Hours and Mean GPA collected for Student-Athletes and Non-Student-Athletes](#) who graduated between 2004-2005 and 2011-2012 shows some variation, it also shows continual improvement by both groups:

- Student-Athletes had a mean total credit hour range between 126.5 and 131.5 and mean cumulative GPAs between 2.96 and 3.08.
- Non Student-Athletes had a mean total credit hour range between 133.0 and 134.9 and mean cumulative GPAs between 3.15 and 3.25.

A review of [Total Credit Hours and Mean GPA for All Students](#) shows that 'all students' exceed the level achieved by student-athletes by approximately one course. They earn between 130.2 and 134.7 mean total credit hours and have a mean cumulative GPA between 3.04 and 3.24.

A review of available records indicates that all of the 30 students (soon to be 32) who received baccalaureate degrees at UNC-Chapel Hill met the graduation requirements set by the University – and in many cases exceeded them. For all of them, and the other students enrolled in the aberrant courses, all existing information suggests that, while their educational experience was inexcusably compromised by the absence of customary faculty contact, these students were assigned academic work in the aberrant courses and they did the work assigned. As stated in the [Review of Courses in the Department of African and Afro-American Studies](#), “[n]o instance was found of a student receiving a grade who had not submitted written work. No evidence indicated that student-athletes received more favorable treatment than students who were not athletes.”

This review of available records also included grade changes. All changes, submitted on Official Grade Change Forms, provided letter grades as replacements for temporary grades; in no case was a permanent letter grade changed. Temporary grades are: “AB” (Absent from the Final Examination) and “IN” (Incomplete). UNC-Chapel Hill policy states that eight weeks into the next regular semester an “IN” (Incomplete) grade is administratively changed to “F*”, and at the end of the next regular semester an “AB” (Absent from the Final Examination) is administratively changed to “F*” for undergraduate students. Ten administratively-awarded “F*” grades were changed, because the instructors allowed additional time for a student to complete the requirements. An additional signature, by a dean, was also provided before the changes were officially recorded in the Office of the University Registrar.

The ability to fully reconstruct degree requirement worksheets for these students is limited by the amount of information available.

- Pursuant to University policy, transcripts are considered “frozen” one year to-the-date after a student receives a degree; according to [University policy](#): “Adjustments may be made to a transcript only for one year following the date of graduation.”
- The University's Records [Retention and Disposition Schedule](#) limits the types of materials that are kept permanently and made available. The policy is maintained by UNC-Chapel Hill's University Archives and Records Management Services.
 - Course Records Retention. Under the Records Retention and Disposition Schedule, student coursework is to be retained for one year. The full retention policy (14.8) states: “Destroy in office examinations, tests, term papers, and homework one year after completion of course for uncontested grade results. If challenged, destroy after resolution of challenge.” Also, “This series may include but is not limited to: completed student examinations, tests, term papers, course work, and related documentation and correspondence.” Faculty members who leave the University should deposit grade records (generally for two years) with the department chair before departing.
 - Syllabus Retention. A syllabus is to be provided to students no later than the first day of class and retained by the respective department or educational unit of the University for a period of at least 4 years (the general life cycle of an undergraduate student). Section 2.11 lists syllabus “Disposition Instructions: Destroy in office when reference value ends.

Conclusion

On September 17, 2012, Chancellor Holden Thorp [announced](#) that he intended to relinquish his administrative duties, and return to full-time teaching as Kenan Distinguished Professor of Chemistry, effective June 30, 2013. He is dedicating his final year in office to ensuring implementation of the programmatic changes that are

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underway. “Over the last two years, we have identified a number of areas that need improvement,” Thorp said. “We have a good start on reforms that are important for the future of this University. I have pledged that we will be a better university, and I am 100 percent confident in that. We still have work to do, and I intend to be fully engaged in that until the day I walk out of this office.”

At the University of North Carolina at Chapel Hill, the nation’s first public university, there is a deep and long-standing commitment to honor and academic integrity. As Faculty Council Resolution 2003-5 [affirms](#): “Academic work is a joint enterprise involving faculty and students. Both have a fundamental investment in the enterprise and share responsibility for ensuring its integrity.” The institution, its faculty, staff and students, have carried that commitment forward for more than 200 years and will continue to do so for generations to come.

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[Letter from Chancellor Holden Thorp to the University community, September 17, 2012](#)

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[The Instrument of Student Judicial Governance, Appendix A](#)

[Total Credit Hours and Mean GPA at Graduation, AFAM Majors and Non-AFAM majors](#)

[Total Credit Hours and Mean GPA at Graduation, Student-Athletes and Non-Student-Athletes](#)

[Total Credit Hours and Mean GPA at Graduation, All Students](#)

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[General Records Retention and Disposition Schedule for The University of North Carolina at Chapel Hill and the University of North Carolina General Administration](#)

[Letter from Chancellor Holden Thorp, September 17, 2012](#)

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Overview

In July 2011, the College of Arts and Sciences learned that the Department of African and Afro-American Studies (AFAM) was implicated in a student-athlete's lawsuit against the University of North Carolina at Chapel Hill and the National Collegiate Athletic Association (NCAA). The NCAA had ruled that the student-athlete in question was ineligible to play football as a consequence of an investigation, begun in June 2010, of the UNC-Chapel Hill football program. The NCAA released its [report](#) on March 12, 2012. The student-athlete was seeking to have that ruling overturned in order to be allowed to play football once again at UNC-Chapel Hill.

Attached to the student-athlete's complaint was a paper submitted for a class, SWAH (Swahili) 403, with a cover sheet naming Professor Julius Nyang'oro (also Chair of the Department of African and Afro-American Studies, where the course was offered) as the instructor of record. Professor Nyang'oro soon thereafter stated to his immediate supervisor (the Senior Associate Dean for the Social and Behavioral Sciences in the College of Arts and Sciences) that he had not taught the course in question. Nyang'oro conjectured that a former manager in the Department of African and Afro-American Studies may have played a role in making the course (and possibly others) available inappropriately. In August 2011, a media request for information concerning AFAM 428, a course taught by Professor Nyang'oro in the second session of Summer School 2007, raised additional concerns about the Department.

University officials promptly notified the NCAA that new issues involving student-athletes had been identified. The Dean of the College of Arts and Sciences soon launched an inquiry covering the period from summer 2007 through summer 2011, focusing on all courses in the Department of African and Afro-American Studies. The resulting "[Review of Courses in the Department of African and Afro-American Studies, College of Arts and Sciences](#)," prepared by Senior Associate Deans Jonathan Hartlyn and William L. Andrews, was completed on May 2, 2012. It was made available to the University community on May 4, 2012, after the Chancellor invoked his statutory authority to release protected personnel information.

The Department of African and Afro-American Studies in the College of Arts and Sciences emerged in 1997 from the Curriculum in African and Afro-American Studies. The Curriculum was formed in the 1979-1980 academic year through a merger of the Curriculum in African Studies, established in 1969, and the Curriculum in Afro-American Studies, established in 1972. Professor Julius Nyang'oro chaired the Curriculum beginning in 1992, and was appointed Department Chair in 1997. He was reappointed in 2002 and again in 2007, and served until his resignation in August 2011. That same month Dr. Evelyne Huber, Chair of the Department of Political Science, was appointed as interim chair of the Department of African and Afro-American Studies. On January 1, 2012, Dr. Eunice Sahle, a faculty member in the Department since 2001 with a joint appointment in the Curriculum in Global Studies, was appointed as Department Chair for a five-year term, following established procedures described in [Comprehensive Standard 3.2.8 "Qualified Administrative/Academic Officers"](#).

The University's senior administrators have responded promptly and thoroughly to the issues raised during the investigation. The Board of Trustees has been kept informed throughout the course of the investigation, as has the President of the University of North Carolina system. The University and the College of Arts and Sciences are committed to ensuring high standards for academic integrity and academic achievement, and they demonstrate this commitment regularly and publicly. The University and the College of Arts and Sciences have worked tirelessly to identify problems and make sure that they are being addressed promptly, deliberately, and systematically.

The leadership, faculty, staff, and students at the University of North Carolina at Chapel Hill recognize the seriousness of these issues and have welcomed the objective reviews being conducted, including those by a panel named by the Chair of the UNC Board of Governors, by the UNC-Chapel Hill Faculty Executive

Committee, and by the State Bureau of Investigation. The University views all of these inquiries as constructive ways to resolve questions and move forward.

Findings and Responses

The [timeline](#) accompanying this response outlines the major findings of a series of reviews and the University's responses to them, as do the documents and narratives for the standards of the Principles of Accreditation as they relate to academic integrity, which were requested on July 2, 2012, by the Commission on Colleges of the Southern Association of College and Schools. Among the issues raised and actions taken are the following:

- The individuals identified as responsible for the questionable practices concerning courses offered by the Department of African and Afro-American Studies (with prefixes of AFAM, AFRI and SWAH) are no longer employed by the University of North Carolina at Chapel Hill. On August 30, 2011, the Dean of the College of Arts and Sciences accepted the resignation of Professor Julius Nyang'oro as Chair of the Department of African and Afro-American Studies. He was urged to retire and elected to do so, effective June 30, 2012. Serious consideration was given to terminating him for cause, but after considering the likelihood of a lengthy appeals process, the decision was made that allowing him to retire was the most expedient way to separate him from the University. The former department manager retired in 2009 – after which only two of the forty-five irregular courses cited in the report were offered. (See [Review of Courses in the Department of African and Afro-American Studies, College of Arts and Sciences](#)). Chancellor Holden Thorp exercised his discretion and released confidential personnel information pertinent to these matters in order to be transparent with the public and to maintain the academic integrity of the University.
- Two reviews were conducted in the College of Arts and Sciences at the request of the Dean. The reports resulting from these reviews, "[Review of Courses in the Department of African and Afro-American Studies, College of Arts and Sciences](#)" and the "[Independent Study Task Force Report](#)," have been issued and the implementation of the recommendations contained in these reports has begun. Each of these reports is discussed in the course of this report.
 - New leadership is in place in the Department of African and Afro-American Studies, together with a new governance structure and new policies and procedures. In some cases, the faculty in the Department of African and Afro-American Studies decided to make even more restrictive policies than those in place in other departments in the College.
 - The Department's faculty members have renewed their understanding of -- and reaffirmed their commitment to -- University policies governing final exams and grading processes, excused absences from class, and course syllabi.
- The Department's faculty members have enacted strict new policies for independent studies which now: restrict offering them to only junior- and senior- level African and Afro-American Studies (AFAM) majors with a GPA of 3.0 or higher; limit faculty to teach no more than two independent study students per academic year; and require individual learning contracts for independent studies.
 - A College-wide task force thoroughly reviewed all existing policies and protocols for independent study. Among the changes being implemented are the following:
 - Faculty members may supervise no more than two independent study students per semester or summer school session.
 - Faculty members must create individual learning contracts with specific expectations. All contracts are to be signed, approved at the next level, and kept on file.
 - Lectures and seminars may not be offered as independent study courses, except in unusual circumstances and with a series of special approvals.
 - The standard course numbering system will be followed consistently.

- The oversight of the Academic Support Program for Student-Athletes has been strengthened and reporting practices refined. The [strategic plan](#) developed in 2010-2011 contained recommendations that are strengthening the provision of appropriate services to student-athletes and the relationship of that unit with others on campus.
 - Academic counselors who work directly with student-athletes must report any concerns about potential course irregularities to their supervisors, and the program must in turn report these to the Senior Associate Dean for Undergraduate Education.
 - Academic counselors are not permitted to register students for courses. Students must register themselves with advice from the Academic Advising Program (the advising office of the College of Arts and Sciences). If difficulty with the timing of registration occurs, students may assign a proxy through an established process, requiring a series of approvals before registration can occur.
- Annual reviews of teaching assignments and student enrollment numbers in courses for all faculty members in the College of Arts and Sciences are now being conducted, not only to ensure that similar problems do not exist (or emerge) in other departments, but also to strengthen the College's ability to monitor teaching assignments in the future. The review of teaching assignments and enrollments completed for the 2010-2011 and 2011-2012 academic years (including summer sessions) did not reveal any similar problems in other departments.
- The Dean of Summer School has implemented new policies and procedures for monitoring courses offered during Summer Sessions I and II, beginning with the 2012 summer registration and enrollment cycle.
- The University's ability to review and track teaching assignments and grade information has been greatly enhanced by the Fall 2010 transition to a new centralized electronic database, ConnectCarolina (an integrated management system by Oracle/PeopleSoft).
 - All grades are now filed electronically in a system that allows auditing.
 - Although grade changes are still handled on paper, the plan is to convert the process to an electronic system that has routing capabilities. Until that process is implemented, all paper grade change forms are being routed through the College of Arts and Sciences' Office of Undergraduate Education, where all grade changes are reviewed before being processed.
- The Educational Policy Committee has reviewed course syllabus practices and will make [recommendations early](#) in the Fall 2012 semester regarding information that should be included in a course syllabus and how long the syllabus must be retained by the department in which the class was taught.
- The University is taking every precaution to ensure that the terms of the sanctions are observed as stated in the [NCAA Public Infractions Report](#) dated March 12, 2012. It is worth highlighting the statement in the NCAA's Public Infractions Report that, quote, "...the institution exhibited appropriate control over its athletics program" (p. 21).

In addition to these responses, other reviews are occurring. The University of North Carolina at Chapel Hill Board of Trustees is actively engaged in protecting the academic integrity of the University. The Trustees have interviewed three firms with considerable experience in higher education about conducting an academic audit of the University. The Board of Trustees expects that a firm will be identified and retained and that an initial report will be presented at the Trustees' September 20, 2012, meeting. The objectives of this academic audit are to:

- Ensure that UNC-Chapel Hill's academic policies are consistent, accessible, and clearly communicated to students, faculty, staff, and the administration.
- Ensure that UNC-Chapel Hill's processes, procedures, and systems support its academic policies.
- Create a periodic academic audit process that prevents abuses, detects anomalies, promulgates best practices, and improves academic quality without unnecessarily burdening faculty, staff, and students.

Overview

August Response to SACSCOC

A subcommittee of the Executive Committee of the Faculty Council (UNC-Chapel Hill's faculty governance structure) reviewed all reports relevant to these issues. Their [report](#), released on July 20, 2012, will help clarify how student-athletes are advised about courses and requirements and promote dialogue about the enduring challenges of fielding competitive intercollegiate athletic teams on the campus of a leading research university. The Chair of the Faculty, Jan Boxill has [accepted](#) the report and is in the process of identifying a recommended course of action.

The University has been aggressive in identifying those issues that raise questions of academic integrity and about resolving these issues. UNC-Chapel Hill cooperated fully with the NCAA investigation that began in July 2010 and resulted in a "[Public Infractions Report](#)" dated March 12, 2012. In November 2011, the University filed a report with its own Department of Public Safety concerning unauthorized signatures on grade rolls and grade change forms discovered during the review of the Department of African and Afro-American studies. That report resulted in subsequent consultation with the Orange County District Attorney's Office and the State Bureau of Investigation (SBI). The University also self-reported its findings concerning the Department of African and Afro-American Studies to the NCAA.

In May 2012 the University once again asked the Department of Public Safety to consult with the SBI about possible criminal wrong-doing uncovered in the course of the investigation; the SBI investigation is ongoing. The University Board of Trustees was apprised of all findings and the actions being taken to remedy them at meetings (in open and closed sessions) on September 21-22, 2011; November 16-17, 2011; January 25-26, 2012; March 21-22, 2012; May 23-24, 2012; and July 25-26, 2012, as well as through [written correspondence](#). The faculty has been [briefed](#) by the Chancellor and the [Dean of the College](#) at Faculty Council meetings and in writing. A report was made at the July 14, 2012, meeting of the University of North Carolina Board of Governors and on July 20, 2012, to a panel constituted by the Board of Governors whose review is ongoing. In each of these instances the University of North Carolina at Chapel Hill has cooperated fully.

Conclusion

Having questions raised about academic integrity and the quality of the education being provided is of concern to every member of the community that comprises the University of North Carolina at Chapel Hill: the administration, the faculty, the staff, and the students. The University has worked diligently to identify the problems that have been uncovered and to address these problems in a forthright manner. The University has also expressed its support for those remaining faculty and staff members in the Department of African and Afro-American Studies whose commitment to academic integrity has – through no fault of their own -- been called into question by these unfortunate events.

As Chancellor Holden Thorp observed to the Board of Governors Panel on July 12, 2012, "Throughout this ordeal, we have asked hard questions, and we have found answers that are humiliating and painful for a University built on a commitment to academic excellence." From the outset, the University has taken responsibility for what occurred, has taken steps to repair the damage to the University's academic integrity, and has done everything in its power to make sure that it never happens again. In a major research university with almost 30,000 students and nearly 3,500 faculty members, this is a formidable challenge. Yet the Chancellor, together with the entire UNC-Chapel Hill community, is committed to doing exactly that.

Being open about the academic scandal and taking steps to prevent its recurrence has caused embarrassment for the University and created concern in many quarters. But, it has also provided an opportunity for the University of North Carolina at Chapel Hill to reaffirm its principles of academic integrity and its support for a rigorous education for all students at all levels of study. As Chancellor Thorp told the Board of Governors' panel,

“Throughout our investigation, our guiding purpose was to determine what went wrong, who was responsible, and how we could prevent a recurrence. We found what we needed to know -- that there was a terrible case of academic fraud that has seriously threatened the integrity of the University. And we also identified what we needed to do to prevent it from happening again.”

The writer Aldous Huxley once said: “The price of freedom is eternal vigilance.” In a similar way, the University of North Carolina at Chapel Hill and its leadership recognize that the price of academic freedom and integrity is, likewise, eternal vigilance.

References

[NCAA Public Infractions Report March 12, 2012](#)

[Review of Courses in the Department of African and Afro-American Studies, College of Arts and Sciences](#)

[Response to Comprehensive Standard 3.2.8 “Qualified Administrative/Academic Officers”](#)

[Timeline of Actions Related to Course Irregularities in African and Afro-American Studies](#)

[Independent Study Task Force Report](#)

[Academic Support Program for Student-Athletes strategic plan](#)

[Educational Policy Committee draft report, “Syllabus”](#)

[Educational Policy Committee draft Agenda August 29, 2012](#)

[Faculty Executive Committee July 2012 report](#)

[Chair of the Faculty comments to the BOT Academic Affairs Committee July 25, 2012](#)

[Chancellor Thorp's communication with the BOT in summer 2012](#)

[Chancellor Thorp's communication with the University community July 20, 2012](#)

[Dean of College of Arts and Sciences memo to faculty](#)

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Appendix

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Academic Support Program for Student-Athletes (ASPSA) Report (September 1, 2011)

2/27/2013

RECOMMENDATIONS	RESPONSIBLE PARTY	IMPLEMENTATION
A. Develop and Share the Vision		
<ol style="list-style-type: none"> 1. Develop a clear and shared vision for the academic development and success of all student-athletes, irrespective of sport. 2. A shared vision might also involve the development of a completion-to-degree plan, but also an individualized academic development plan that evolves with the student-athlete's progress. 3. This shared vision will be articulated in a set of guidelines that informs academic expectations and subsequent decisions with respect to student-athletes (possibly by instituting a point system). Upon analysis, ASPSA staff determined that instituting a point system to elicit greater cooperation from student-athletes would be unlikely to provide the desired results. 4. Coaches and ASPSA staff must be partners in this effort. 	<ol style="list-style-type: none"> 1. Director of ASPSA, after consultation with the ASPSA Advisory Committee, the Faculty Advisory Committee, and the Department of Athletics 2. Director of ASPSA with ASPSA staff members 	<ol style="list-style-type: none"> 1. The ASPSA staff has reviewed its mission statement and found it consistent with the University's mission statement. The review involved discussing the purpose of the mission statement and ways to clarify and establish core values. 2. The success of student-athletes relies on assistance with academic planning, time management, and helping students with their calendars. Discussions occur during weekly meetings between academic counselors and all first-year students, and with other student-athletes who have the greatest academic need. ASPSA staff members have implemented the use of an academic planner known as "Pass Book." 3. Coaches and ASPSA staff members have the same definition of academic success and reach mutually agreeable decisions. The strategic planning process for the Department of Athletics and a process for arbitrating conflicts have been established jointly by the senior associate dean for undergraduate education and the senior associate athletics director for student-athlete services.
B. Collaborate with Other Units Serving Undergraduates		

<p>4. Utilize University services when and where possible to create a system or network of academic support services that could supplement services provided by ASPSA.</p>	<p>1. ASPSA director in cooperation with the heads of other services</p>	<p>1. ASPSA counselors regularly refer student-athletes to support services beyond those provided in the Loudermilk Center for Excellence:</p> <ul style="list-style-type: none"> a. The Academic Advising Program for academic advising b. The Learning Center for tutoring and academic coaching and counseling c. The Writing Center for assistance with writing assignments d. The Math Help Center, Chemistry Resource Center, and the Physics Help Center for assistance with math and science courses e. The Office of Accessibility Resources & Service for ADA accommodations and support for students with learning and physical disabilities
<p>5. Explore ways that the Summer Bridge Program might be adjusted so that matriculating student-athletes from small and/or rural communities in North Carolina could benefit from it during the summer before their first year.</p>	<p>1. Director of the Summer Bridge Program in consultation with the ASPSA director and the senior associate athletic director</p>	<p>1. The Summer Bridge Program director and senior associate athletic director were <u>charged</u> by Senior Associate Dean Owen on Sept. 8, 2012 to determine how student-athletes can participate in the well-established Summer Bridge Program.</p> <p>2. <u>Discussions</u> between the director of the Summer Bridge Program, ASPSA director, and associate director of Academic Support Program for Student-Athletes took place in October and November 2012 to create opportunities for student-athletes to participate in the Summer Bridge Program; 10-20 student-athletes are expected to participate.</p> <p>3. Schedules and application procedures will be available on May 1 when deposits are due for admitted students</p>
<p>6. Collaborate on ways to focus the SCORES (Summer College Opportunity for Realizing Educational Success) program for student-athletes on the football team. It should address academic skills rather than life skills.</p>	<p>1. ASPSA director</p>	<p>1. ASPSA staff and SCORES program administrators have met. They agree this is an important recommendation and will use summer 2013 to discuss ways to incorporate more academic skills into the SCORES program when it is offered again.</p>
<p>7. The ASPSA, coaches, and the Department of Athletics should embrace the importance of student-athletes' participating in other University programs for undergraduate students, such as undergraduate research and international experiences.</p>	<p>1. ASPSA director, with the associate dean and director of the Study Abroad Office, the associate dean and director of the Office for Undergraduate Research, and the assistant provost for Institutional Research and Assessment</p>	<p>1. The Study Abroad Office identifies for the Study Abroad Advisory Board student-athlete participation rates in study abroad programs. "Coach for College" and other international opportunities available to student-athletes are being included in addition to traditional study abroad programs.</p> <p>2. The Office of Institutional Research and Assessment, the Office for Undergraduate Research, and ASPSA track the participation rates of student-athletes in undergraduate research.</p>

<p>8. The Office of Accessibility Resources & Service (formerly Disability Services), the Academic Success Program for Students with LD and ADHD (housed in the Learning Center), and the ASPSA staff should work together with student-athletes to develop creative ways for them to advocate for themselves when a documented [learning] disability provides them with access to the services mandated under federal law.</p>	<p>1. ASPSA director, with personnel in the Office of Accessibility Resources & Service and the Academic Success Program for Students with LD and ADHD</p>	<p>1. In summer 2012, these units developed a protocol for collaborative work when student-athletes have documented disabilities (whether permanent or temporary).</p> <p>2. The assistant director of Accessibility Resources & Service keeps ASPSA staff updated on accommodations available to student-athletes.</p> <p>3. The associate director of ASPSA serves as the primary contact to communicate with staff in Accessibility Resources & Service and the Academic Success Program for Students with LD and ADHD.</p> <p>4. As a result, student-athletes are being provided with timely and appropriate access to services.</p>
<p>9. Student-athletes must make use of the Academic Advising Program (AAP) on a regular basis.</p>	<p>1. ASPSA director and AAP associate dean and director</p>	<p>1. Regular joint meetings of the ASPSA academic counselors and Academic Advising Program advisors occurred most recently in October 2012 and will continue. The next one is schedule for March 22, 2013.</p> <p>2. In June and July 2012 joint meetings between first-year students, ASPSA academic counselors, and Academic Advising Program staff took place. The purpose of these meetings was to advise student-athletes about the selection of majors and minors, general education requirements, and course schedules.</p> <p>3. During the registration period in August 2012 the associate dean and director of AAP made academic advisors available to student-athletes during the evening (outside of normal business hours) to facilitate their use of the electronic registration system.</p> <p>4. Two new assistant deans in the Academic Advising Program are charged with supervising and monitoring the advising of student-athletes about degree programs, course selection, and schedules.</p>
<p>10. Encourage student-athletes to take full advantage of other programming provided by the Department of Athletics (e.g., the Carolina Leadership Academy, Career Development, Life Skills Seminars, and compliance activities).</p>	<p>1. ASPSA director, assistant athletic director for Student-Athlete Services in the Department of Athletics, and Student-Athlete Advisory Council (SAAC)</p>	<p>1. The Department of Athletics, with assistance from the Student-Athlete Advisory Council (SAAC), promotes programming on leadership development, career exploration, and life skills. Activities occur monthly.</p> <p>2. Student-Athlete Services compiles and publicizes community-service opportunities for student-athletes and arranges speakers for additional programming.</p>
<p>C. Revitalize the Faculty Advisory Committee</p>		
<p>11. Appoint a vigorous advisory committee, consisting of tenure-track and fixed-term faculty, as well as some appropriate full-time professional staff (EPA non-faculty) members.</p>	<p>1. Senior associate dean for undergraduate education</p>	<p>1. The ASPSA Advisory Committee meets at least five times a year (twice a semester and during the summer months) to discuss issues of concern to ASPSA. See minutes and agendas for meetings on Feb. 22, 2012; Apr. 5, 2012; Aug. 16, 2012; Sept. 25, 2012; Dec. 6, 2012; and Jan. 29, 2013. [Agendas, Minutes, and Meeting Documents for ASPSA]</p>

12. Post the meetings as open, as is the case for all other University committees.	1. Chair of the ASPSA Advisory Committee	1. The committee meetings are posted and open to the public (except for discussions regarding personnel).
13. Committee members should be appointed by the Senior Associate Dean for Undergraduate Education to staggered terms.	1. Senior associate dean for undergraduate education	1. Committee members are appointed to staggered terms by the senior associate dean for undergraduate education. (See roster.)
14. The Director of ASPSA, the Associate Dean and Director of the Center for Student Success and Academic Counseling (CSSAC), the Senior Associate Athletics Director for Student-Athlete Services, and the chair of the Faculty Athletics Committee would be ex officio (voting) members.	1. Senior associate dean for undergraduate education	1. The director of ASPSA, who is an ex officio (voting) member, also provides organizational support. 2. The associate dean and director of the Center for Student Success and Academic Counseling (CSSAC) and the senior associate athletics director for Student-Athlete Services are also ex officio (voting) members, as is the chair of the Faculty Athletics Committee.
15. The advisory committee should define its role and expectations and hold meetings on a regular basis (perhaps twice a semester and once each summer for a total of five times each year).	1. Senior associate dean for undergraduate education	1. The ASPSA Advisory Committee has held meetings on Feb. 22, 2012; Apr. 5, 2012; Aug. 16, 2012; Sept. 25, 2012; Dec. 6, 2012; and Jan. 29, 2013. The next meeting is in April 2013. See agendas, minutes, and attachments. Committee rosters appear on the back of each meeting agenda. [Agendas, Minutes, and Meeting Documents for ASPSA]
16. The advisory committee could consider ways to address the impact of curricular changes, academic standards (for example, the impact of probation on student-athletes), and the mechanisms for program evaluation and assessment.	1. Chair of the ASPSA Advisory Committee	1. ASPSA Advisory Committee members have been updated by the NCAA/ACC faculty athletics representative and the chair of the Faculty Athletics Committee. They have discussed advising, hiring tutors, the Learning Engagement and Enhancement Program (LEEP), and services for student-athletes (both those with high GPAs and low GPAs). 2. As a result, ASPSA staff is involved in the admissions process. Tutor qualifications have been strengthened and budget issues resolved. 3. Providing notes to instructors after each contact with a tutor is being implemented. 4. ASPSA Advisory Committee members met with all finalists for the ASPSA director position . Dr. Michelle Brown has accepted the position as ASPSA Director, beginning May 6, 2013. 5. ASPSA Advisory Committee members have approved the development of a secure online system to document contacts with student-athletes.
D. Increase ASPSA Staff		
17. Restructure and redefine position descriptions.	1. ASPSA director	1. Position descriptions for ASPSA staff have been revised and will be entered into the University personnel system after review by the incoming ASPSA director, Dr. Michelle Brown .

<p>18. Reallocate staff resources based on the support needs of the students, to include Reading/Writing/Learning specialists who can assist with the development of cognitive skills.</p>	<p>1. ASPSA director</p>	<p>1. Six learning assistants have been hired to help the full-time learning specialists work with student-athletes who have the greatest need for cognitive skills development and/or have documented learning disabilities.</p>
<p>19. Consistent with national standards that suggest a ratio of 1 to 25 students, hire 4 to 5 full-time professionals to work with high-need student-athletes, at least one professional as soon as possible.</p>	<p>1. ASPSA director via the budget process in the Department of Athletics</p>	<p>1. The budget proposal for FY 2014 includes a request for additional professional staff members consistent with the report's recommendations.</p>
<p>20. In the interim, appoint part-time specialized personnel.</p>	<p>1. ASPSA director and tutor coordinator</p>	<p>1. Six learning assistants have been hired to help the full-time learning specialists work with student-athletes who have the greatest need for writing and reading instruction and/or have documented learning disabilities.</p> <p>2. Student-athletes' course schedules are compiled and reviewed each semester, after which tutors are hired for appropriate content areas.</p>
<p>21. Offset some costs by using clerical support personnel for functions such as textbook and computer distribution (where advanced degrees are not required).</p>	<p>1. ASPSA director and Student-Athlete Services personnel</p>	<p>1. The ASPSA office assistant's position description has been reviewed and duties have been realigned.</p> <p>2. The senior associate athletic director for compliance is now responsible for distributing textbooks.</p> <p>3. All Carolina undergraduates are required to have a laptop. For student-athletes, computer allotments are first reviewed by the assistant director for compliance/financial aid; computers are then distributed by the staff of the Carolina Computing Initiative.</p>
<p>22. Professional staff members need to participate in professional development activities as much as possible.</p>	<p>1. ASPSA director</p>	<p>1. Professional development is encouraged and supported.</p> <p>2. For example, the ASPSA director has approved requests from three academic counselors to attend conferences for professional development. Two attended the regional N-4A conference in October 2012 in Atlanta, Georgia. Another academic counselor will attend the NCAA Regional Rules Seminar in Denver, Colorado, in May 2013.</p>
<p>23. Hire a full-time tutor coordinator who is responsible for recruiting, hiring, training, supervising, and evaluating tutors; help with access to services available throughout the University; and conduct exit interviews when tutors leave the program to ensure continuing compliance with NCAA regulations.</p>	<p>1. ASPSA director</p>	<p>1. The full-time tutor coordinator began July 7, 2012.</p> <p>2. The tutor coordinator has recruited, hired, trained, supervised, and evaluated nearly 60 tutors.</p> <p>3. The tutor coordinator makes referrals, when appropriate, to services such as academic help centers (Chemistry Resource Center, Math Help Center, Physics Help Center) that are available to all students attending UNC-Chapel Hill.</p> <p>4. The tutor coordinator conducts exit interviews when tutors leave the program to ensure continuing compliance with NCAA regulations.</p>

<p>24. Full-time staff would continue to rotate through the hours of study hall, with some night and weekend presence (and perhaps travel with teams) expected.</p>	<p>1. ASPSA director</p>	<p>1. Full-time staff members (with the exception of the office manager) supervise study hall at night on a rotating basis and work on weekends as needed. Some academic counselors travel with teams when called upon to do so.</p>
<p>25. Permissible assistance by tutors on subject matter learning, test preparation, and assistance with writing assignments should be clearly outlined and consistent with UNC-Chapel Hill and NCAA standards.</p>	<p>1. ASPSA director and tutor coordinator, who provide training to all tutors</p>	<p>1. The ASPSA tutor training materials incorporate these recommendations. 2. The 2012-2013 Tutor Manual addresses NCAA Standards (pp. 8-10), appropriate assistance with writing assignments (p. 11), and tools and strategies for skill development (pp. 17-24).</p>
<p>26. Tutors should be people with relevant academic experience, such as graduate students, retired University faculty, and/or current and former public school teachers who would undergo consistent professional development.</p>	<p>1. Tutor coordinator</p>	<p>1. Tutors have relevant experience as evidenced by their applications and resumes.</p>
<p>27. Tutors should be prepared to work more than 8 or 10 hours per week.</p>	<p>1. Individual tutors</p>	<p>1. Often this is the case, but some tutors work fewer hours each week (depending on need and availability), and others work as many as 20 hours each week.</p>
<p>28. Tutors should have considerable background in the science of learning as well as content knowledge.</p>	<p>1. Tutor coordinator</p>	<p>1. As evidenced by their resumes, many tutors have significant content knowledge in addition to teaching/tutoring experience. They assist students with heavy reading-based courses. The value of their experience is also reinforced in training sessions that encourage them to share strategies with each other. (See attached training materials.)</p>
<p>29. Tutors should be hired across sports, using their content expertise wherever needed.</p>	<p>1. Tutor coordinator</p>	<p>1. Tutors work with student-athletes regardless of their sport. Resources are focused on student-athletes who have the greatest need for reading and writing instruction, the lowest cumulative GPAs, and/or have documented learning disabilities.</p>
<p>30. The tutors who assist student-athletes with writing assignments should receive essentially the same training as the staff of the Writing Center.</p>	<p>1. Tutor coordinator in cooperation with the director of the Writing Center</p>	<p>1. Tutors who assist with writing assignments are primarily graduate students from the Department of English and Comparative Literature who have taken the pedagogy class for teaching writing and are also teaching first-year composition classes (ENGL 105). 2. Six learning assistants are supervised and trained by the ASPSA's reading and writing specialist; they also assist students with their writing. (See training documents.)</p>
<p>31. Redesign the current mentoring program to use graduate students, part-time staff, and others (for example retired faculty and staff) in this role rather than undergraduates; this may be an appropriate task for a new tutor coordinator to undertake.</p>	<p>1. ASPSA director</p>	<p>1. The mentoring program was discontinued as of July 1, 2012. 2. High demand for direct assistance with course content required shifting resources from mentoring to the Learning Engagement and Enhancement (LEEP) program, which serves student-athletes with the most pressing academic challenges.</p>

<p>32. During the program's redesign, consider whether mentors should also engage in subject matter tutoring and provide writing assistance.</p>	<p>1. ASPSA director</p>	<p>1. The mentoring program was discontinued as of July 1, 2012. Six part-time learning assistants were hired to help the full-time learning specialists work with student-athletes as needed.</p>
<p>33. Until a new format can be designed and implemented, many of the services provided by mentors could be absorbed by the full-time ASPSA staff, by tutors, and by the Reading/Writing/Learning specialists.</p>	<p>1. ASPSA director</p>	<p>1. During their weekly meetings with student-athletes, academic counselors work with them in holistic ways. They have absorbed responsibility for services formerly provided by mentors.</p>
<p>E. Conduct a Program of Assessment and Evaluation</p>		
<p>34. ASPSA should incorporate a system of program evaluation into its operation, to include (a) documenting clear goals for student-athlete academic development, (b) articulating program operations with respect to these goals, (c) setting program benchmarks and criteria for success, (d) systematically collecting data on services, service delivery, and outcomes, (e) and the regular conduct of both formative (e.g., every two years) evaluations conducted by the professional staff of ASPSA and summative (e.g., every five years) by parties external to ASPSA.</p>	<p>1. ASPSA director with assistance from personnel in the Office of Institutional Research and Assessment and members of the ASPSA Advisory Committee</p>	<p>1. Assessment activities for each major component of the ASPSA office and the associated assessment schedule are underway (see below).</p> <p>2. LEEP program issues and assessments were discussed at the December 2012 ASPSA Advisory Committee meeting. The Committee chair and ASPSA staff have vetted a proposal from the School of Education for assessing students in the LEEP program.</p> <p>3. At the January 2013 ASPSA Advisory Committee meeting, members agreed to pursue ways to send tutor notes to faculty, similar to those used by tutors in the Writing Center.</p> <p>4. Goals and benchmarks for ASPSA have been revised. Staff members formally reviewed their position descriptions and developed specific benchmarks for themselves. Some staff members (over several days) documented each activity and meeting (administrative, student) to assist in developing a rubric to capture the nature of the work.</p> <p>5. The feasibility for purchasing a data system to document counselor activities, tutor activities, and student experience has been explored. Colleagues across campus, with expertise in this area, were consulted for their advice.</p> <p>6. The Faculty Athletics Committee has devoted two of its eight meetings to advising services and academics for student-athletes. Discussions were informed by data about majors, course clustering, and course enrollments for student-athletes.</p> <p>7. The FY 2014 budget proposal includes a request for an external evaluation of the assessment mechanisms currently being used.</p>

<p>35. The accomplishments of student-athletes should be tracked and compared to the student body; comparisons could be made concerning entering SAT, BE (by-examination credit based on AP or IB scores) credit, and class rank scores, as well as their progress toward graduation via GPA, retention and graduation rates, participation in Study Abroad and Undergraduate Research, etc.</p>	<p>1. Faculty Executive Committee, ASPSA Advisory Committee, director of undergraduate admissions, ASPSA director, communications offices in the College of Arts and Sciences and the Department of Athletics</p>	<p>1. The chair of the ASPSA Advisory Committee compiles as much information as possible for inclusion in the ASPSA annual report. The accumulation of data over 5-7 years allows comparisons and is used to set goals.</p>
<p>F. Review Admissions</p>		
<p>36. To be effective, the role of the ASPSA in the admission of student-athletes should continue to be valued.</p>	<p>1. ASPSA director and director of undergraduate admissions</p>	<p>1. The academic profiles of applicants being recruited as student-athletes are thoughtfully reviewed by the ASPSA director and, if useful, ASPSA learning specialists, who provide feedback to the Undergraduate Admissions Advisory Committee's Subcommittee on Special Talent regarding the probability of these student-athletes to succeed and the capacity of the staff to help them.</p>
<p>37. ASPSA is encouraged to continue to provide detailed and unbiased advice about the capacity of prospective student-athletes to succeed academically at the University, taking into account the whole of the prospective student-athlete's personal circumstances and educational profile, as well as the priority that his or her coaches will assign to academic pursuits and the capacity of ASPSA to provide appropriate support.</p>	<p>1. ASPSA director and director of undergraduate admissions</p>	<p>1. The director of undergraduate admissions and the chair of the Undergraduate Admissions Advisory Committee's Subcommittee on Special Talent have deliberately sought detailed and unbiased advice from ASPSA staff members concerning the capacity of prospective student-athletes to succeed at UNC-Chapel Hill. This advice takes into account the student's educational background, the commitment of coaches on specific teams to support the student's academic efforts, and the ability of the ASPSA staff to meet the student's academic needs.</p> <p>2. As demonstrated by the Committee on Undergraduate Admissions' annual report and PowerPoint presentation to the Faculty Council on February 8, 2013, the Undergraduate Admissions Advisory Committee monitors the profiles of all applicants and admitted students. Longitudinal data is included.</p>

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[Carolina Leads: A Strategic Plan for Carolina Athletics 2012-2016](#)

[E-mail to Summer Bridge Director Regarding Student-Athlete Participation in Summer Bridge Program, September 8, 2012](#)

[Summary of discussions between Summer Bridge and ASPSA](#)

[ASPSA and Academic Advising Program Partnership and Collaboration](#)

[Report of the Search Committee for the Assistant Dean for Academic Advising, February 11, 2013](#)

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[Michelle Brown CV](#)

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[ASPSA Tutor Training Materials](#)

[2012-2013 Tutor Manual](#)

[Reading and Writing Specialist Bradley Bethel Resume](#)

[ASPSA Advisory Committee, December 6, 2012 Minutes](#)

[ASPSA Advisory Committee, January 29, 2013 Minutes](#)

[Writing Center Sample Reports](#)

[Charge, Membership, and Procedures of the Subcommittee on Special Talent](#)

THE UNIVERSITY OF NORTH CAROLINA AT CHAPEL HILL

Appendix

First Monitoring Report

[Advisory Committee on Undergraduate Admissions, 2011-2012 Annual Report, February 8, 2013](#)

[Advisory Committee on Undergraduate Admissions PowerPoint Presentation to Faculty Council, February 8, 2013](#)

Independent Study Task Force Report (April 10, 2012)

2/28/2013

RECOMMENDATIONS	RESPONSIBLE PARTY	IMPLEMENTATION
<p>1. Adopt standard usage for the following terms, which are at present often used interchangeably: Traditional Independent Study, Directed Readings, Mentored/ Directed Research, Honors Thesis, Internships, Field Work (aka Field Research), Practica, Service Learning, Special Topics, and Experimental Courses (as defined in Appendix A).</p>	<p>1. University Registrar (related to course numbering conventions and University Policy Memorandum #4)</p> <p>2. Curriculum committees in the College of Arts and Sciences and the professional schools</p>	<p>1. The entire report, including the definitions of various types of independent study in Appendix A, was:</p> <ul style="list-style-type: none"> a. Adopted by the College of Arts and Sciences Administrative Board on April 17, 2012; b. Posted to Office of Undergraduate Curricula website; and c. Distributed to chairs and directors of undergraduate study via a memo containing a link to the website from Senior Associate Dean Owen on April 23, 2012. <p>2. On Sept. 26, 2012, the University Registrar posted to the Office of the University Registrar's website a revised University Policy Memorandum (UPM) #4, "Standard Course Numbering System".</p> <p>3. The Office of Undergraduate Curricula and the College of Arts and Sciences' Curriculum Committee continue to review all requests to establish or revise undergraduate courses to ensure that course titles, numbers, and descriptions are consistent with the definitions in Appendix A of the report. During the 2012-2013 academic year, four courses were found to be inappropriately numbered, and were thus renumbered to be consistent with UPM #4.</p> <p>4. In September 2012, the Provost requested that the Educational Policy Committee consider adopting the recommendations of the Independent Study Task Force campus-wide.</p> <p>5. The Faculty Council is slated to consider a resolution to adopt the Independent Study Task Force recommendations campus-wide at its meeting on March 8, 2013.</p>

<p>2. Adopt College-wide guidelines for independent studies that include a learning contract. The contract could be completed as a paper process, but would ideally be a digital template with routing by electronic means from the originator to the approver(s) and back. The learning contract would establish minimum expectations for both student and instructor while also allowing departments to customize the agreement to suit their own particular needs and circumstances.</p>	<p>1. Dean of the College of Arts and Sciences, by designation to the senior associate dean for undergraduate education, who will then direct units to implement</p> <p>2. Associate dean for honors (for honors thesis learning contracts)</p>	<p>1. Senior Associate Dean Owen sent a memo to the chairs and directors of undergraduate study in the College of Arts and Sciences on July 11, 2012, requiring the following actions by Nov. 6, 2012:</p> <ol style="list-style-type: none"> The use of uniform learning contracts for independent study/research, directed readings, and other such courses; A procedure for reviewing and approving these learning contracts; A method for creating individual sections of a course for each faculty member supervising such courses; A limit on the number of times the same special topics course can be offered to no more than two occurrences; and A determination of which of two formats for registering students for honors thesis a department should follow. <p>2. A uniform independent study contract was developed and posted to the College of Arts and Sciences Intranet on Sept. 6, 2012. Some departments have modified the form to request additional information.</p> <p>3. Senior Associate Dean Owen informed chairs and directors of undergraduate study about the use of the learning contract on Sept. 10, 2012, and reminded them to prepare for spring 2013 registration by creating individual sections for faculty supervising independent studies.</p> <p>4. Associate Dean Lindemann updated the College of Arts and Sciences' 2013 Chair's Manual to include information about syllabus guidelines and learning contracts on Jan. 3, 2013.</p> <p>5. On Feb. 4, 2013, Dean Gil and Senior Associate Dean Owen sent a memo and form to chairs requesting reports by Feb. 15, 2013, verifying compliance with policies governing the contents of course syllabi and independent studies courses, as detailed in Senior Associate Dean Owen's memo of July 11, 2012.</p> <p>6. The attached document records compliance by all units in the College of Arts and Sciences. Examples of learning contracts are provided for Sociology 396, Biology 395, and Speech and Hearing Sciences 196. A sample policy developed by the Department of Communication Studies is also included.</p>
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<p>3. Create sections of a course for each faculty member in a department/ curriculum who is supervising traditional independent studies, internships, mentored research, directed readings, etc.</p>	<p>1. Scheduling officers in each unit, at the direction of the special projects assistant to the senior associate dean for undergraduate education</p>	<ol style="list-style-type: none"> 1. The special projects assistant to the senior associate dean for undergraduate education conducted a comprehensive review of undergraduate enrollments and grade distributions for seven types of independent study courses offered in fall 2012, both in the College of Arts and Sciences and in the professional schools. The study was based on data provided by the Office of Institutional Research and Assessment and replicated a similar review completed in fall 2011. 2. The review encompassed a total of 3,495 enrollments at the beginning of the semester (census) and 3,611 final grades in 475 sections; 102 sections (21%) needed further review, which was handled via e-mail with the relevant unit chair and/or instructor. 3. Because full implementation of the independent study guidelines began with the spring 2013 semester, the fall 2012 review served to identify and resolve issues for units in the College of Arts and Sciences. Among the issues addressed included the absence of an identified instructor, enrollments of more than two students per section, and the absence of a learning contract. Some courses in the data set turned out not to be independent study courses, though they bore reserved independent study course numbers. These courses were renumbered, effective fall 2013, but will be offered under their old numbers in the interim. 4. The review of fall 2012 student enrollments and grade distributions revealed that department personnel and instructors are: <ol style="list-style-type: none"> a. Actively engaged in understanding how their courses align with the categories of independent study courses that will be implemented in fall 2013; b. Aware of and motivated to use learning contracts for research courses and senior honors thesis courses; and c. Awarding a high percentage (over 50%) of grades within the A range for independent study courses, consistent with the Independent Study Task Force's observation that students who enroll in independent studies tend to be highly motivated and self-directed. 5. A similar review is underway with spring 2013 data and will be repeated in fall 2013, by which time all renumbered courses will have become effective.
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<p>4. Restrict the number of students that a faculty member may supervise during a semester or summer session to a maximum of two students in traditional independent study courses, directed readings, or mentored research.</p>	<ol style="list-style-type: none"> 1. Scheduling officers under the direction of the unit chair, with review by the College of Arts and Sciences' senior associate deans 2. College of Arts and Sciences' senior associate dean for finance and planning 3. Office of Institutional Research and Assessment 	<ol style="list-style-type: none"> 1. The review of fall 2012 independent study courses, based on data provided by the Office of Institutional Research and Assessment, found 68 sections (14% of 475 sections) that had enrollments of more than two students. In some cases, the courses had been renumbered, effective fall 2013, or were confirmed to be offered through large, active research laboratories, or represented other valid exceptions to the two-student requirement. In all cases, the special projects assistant to the senior associate dean for undergraduate education communicated to unit chairs and/or instructors the need to cap enrollments at two students per instructor. 2. Each September, the senior associate deans in the College of Arts and Sciences review faculty workload reports within their division, which are provided by the senior associate dean for finance and planning (see Chair's Manual, p. 93). 3. Each February, the senior associate deans review faculty assignment data provided by the Office of Institutional Research and Assessment for each unit in the College of Arts and Sciences. These data include information about all teaching assignments for the previous summer and fall and current spring semesters for all instructors, as well as the number of seats offered and occupied in each class or assignment.
<p>5. Restrict offering active (approved) lecture or seminar courses as an independent study, except in unusual circumstances. "Tutorial Independent Study" may continue to be utilized for this purpose, provided that all approvals are obtained, including from the department chair and the associate dean (or Director) for Undergraduate Curricula.</p>	<ol style="list-style-type: none"> 1. Department chair and associate dean for undergraduate curricula, through the Friday Center for Continuing Education, which handles the student's registration, payment, and final examination 	<ol style="list-style-type: none"> 1. Following this policy, which was established in April 2011, three students have been approved to enroll in Tutorial Independent Study, one each in fall 2011, summer II 2012, and fall 2012. To date, no requests have been made for spring 2013.
<p>6. Follow one of two formats for registration for honors theses: 1) students complete a two-semester sequence consisting of a research course taught by the departmental honors director, then work with a faculty advisor, or 2) students enroll for two semesters in a section of an honors thesis course assigned to and taught by the student's thesis advisor.</p>	<ol style="list-style-type: none"> 1. Senior associate dean for undergraduate education 2. Associate dean for honors, with departmental honors directors 	<ol style="list-style-type: none"> 1. On July 11, 2012, Senior Associate Dean Owen sent a memo to the chairs and directors of undergraduate studies in the College of Arts and Sciences requiring that all units determine by Nov. 6, 2012, which of two formats for registering students for honors thesis best addressed the needs of their students. 2. In order to review and update policies, the associate dean for honors has collected data from units in the College of Arts and Sciences about current practices for honors thesis work.

<p>7. Exclude the six-hour registration (two three-credit courses) for senior honors thesis from the number of independent study credits that may count toward graduation.</p>	<ol style="list-style-type: none"> 1. Faculty Council, at the request of the Educational Policy Committee 2. University Registrar, for the degree-audit process (Tar Heel Tracker) 3. The graduation division of the College of Arts and Sciences' Academic Advising Program 	<ol style="list-style-type: none"> 1. Resolution 2012-12: "On Revising the Regulation Concerning Independent Studies for Credit." was approved by the Faculty Council on Oct. 5, 2012. 2. The exclusion is being monitored as part of the electronic degree-audit process in the Office of the University Registrar (Tar Heel Tracker) and in the graduation division of the College of Arts and Sciences' Academic Advising Program.
<p>8. Raise the limit of independent study credit that may count toward graduation from six to twelve credit hours within a fall or spring semester.</p>	<ol style="list-style-type: none"> 1. Faculty Council, at the request of the Educational Policy Committee 2. University Registrar, for the degree-audit process (Tar Heel Tracker) 3. The graduation division of the College of Arts and Sciences' Academic Advising Program 	<ol style="list-style-type: none"> 1. Resolution 2012-12: "On Revising the Regulation Concerning Independent Studies for Credit." was approved by Faculty Council on Oct. 5, 2012. 2. On Feb. 20, 2013, the Educational Policy Committee approved a policy that would exempt professional schools offering undergraduate degrees from: 1) the limits on counting independent study credit toward graduation; and 2) the restriction on the number of students a faculty member may supervise during a semester or summer session in internships/practica (clinical placement). A resolution will appear on the March 8, 2013, agenda for action by the Faculty Council. 3. Graduation limits related to independent study course credit are now being monitored as part of the electronic degree-audit process in the Office of the University Registrar (Tar Heel Tracker) and in the graduation division of the College of Arts and Sciences' Academic Advising Program.

<p>9. With respect to special topics courses:</p> <ol style="list-style-type: none"> Limit the number of times that the same special topics course can be offered to no more than two occurrences; Require secondary titles for all special topics courses; Consider carefully the implications of including special topics courses in requirements for majors and minors; and Remind departments/curricula that special topics courses cannot fulfill General Education requirements. 	<ol style="list-style-type: none"> Unit chairs will monitor College of Arts and Sciences Curriculum Committee and the Administrative Boards of the General College and College of Arts and Sciences 	<ol style="list-style-type: none"> On July 11, 2012, Senior Associate Dean Owen sent a memo to chairs and directors of undergraduate study in the College of Arts and Sciences informing them of this policy. On Feb. 4, 2013, Dean Gil and Senior Associate Dean Owen sent a memo and form to chairs requesting reports verifying compliance with the policy, and their “commitment to limit the number of times the same special topics course can be offered to no more than two occurrences before submitting the course for a regular course number.” The Office of Undergraduate Curricula: <ol style="list-style-type: none"> Reviews all proposed courses to ensure that topics courses are correctly numbered and that they do not propose to fulfill General Education requirements. (During the 2012-2013 academic year, four courses were submitted with numbers that had to be corrected.) Previews all proposed changes in majors and minors to determine whether topics courses appear to have an appropriate, purposeful function. Reviews and adjusts General Education requirements when discrepancies occur.
<p>10. All undergraduate courses that are standard offerings but are currently incorrectly numbered should be renumbered as soon as possible.</p>	<ol style="list-style-type: none"> Provost University Registrar, on recommendation of the Office of Undergraduate Curricula for the College of Arts and Sciences University Registrar, on recommendation of the professional schools 	<ol style="list-style-type: none"> In collaboration with units in the College of Arts and Sciences, the Office of Undergraduate Curricula renumbered over 200 undergraduate courses from June to mid-August 2012, and reported these changes to the Administrative Boards of the General College and the College of Arts and Sciences on Sept. 18, 2012. On September 26, 2012, Provost Bruce Carney wrote to the deans of the professional schools, requesting that they “review your active undergraduate course offerings (numbered from 100 to 699) and identify courses that need to be renumbered to be consistent with the new system.” On Oct. 4, 2012, the deans of the College of Arts and Sciences and the professional schools offering undergraduate courses submitted “Progress Reports on Undergraduate Course Renumbering Project” to Provost Carney. With a few exceptions, the courses identified in the reports have been renumbered.
<p>11. The ConnectCarolina system of tagging courses should be employed to identify all courses that are research-intensive.</p>	<ol style="list-style-type: none"> University Registrar 	<ol style="list-style-type: none"> Three hundred and seventy-one (371) research-intensive courses have been given a research-intensive course attribute in the ConnectCarolina course catalog.
<p>12. Expand the sequence of numbers for undergraduate special topics courses and research courses; repurpose numbers ending in 99; and establish a series of numbers for internships/practica and service-learning courses.</p>	<ol style="list-style-type: none"> University Registrar 	<ol style="list-style-type: none"> At the request of the University Registrar, on August 31, 2012, Associate Dean Lindemann formally requested that the Registrar revise University Policy Memorandum (UPM) #4, Standard Course Numbering System. The revised UPM was uploaded to the Office of the University Registrar’s website on Sept. 26, 2012.

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[Memo from Dean Gil and Senior Associate Dean Owen to Chairs, Regarding Spring 2013 Course Syllabi and Independent Study Contracts, February 4, 2013](#)

[Course Syllabi and Independent Study Contracts Verification Form](#)

[Record of College of Arts and Sciences Compliance with Policies Regarding Course Syllabi and Independent Study Contracts](#)

[Example of Learning Contract, Sociology 396](#)

[Example of Learning Contract, Biology 395](#)

[Example of Learning Contract, Speech and Hearing Sciences 196](#)

[Sample Policy, Department of Communication Studies](#)

[Fall 2012 Independent Study Review, Office of Undergraduate Education, February 21, 2013](#)

Appendix

First Monitoring Report

[E-mail Announcing That the Staffing Workload System for 2011-2012 Is Open](#)

[Chair's Manual, Faculty Teaching Assignment Review](#)

[Senior Associate Deans' Report on Teaching Assignment Reviews, February 2013](#)

[Resolution 2012-12. On Revising the Regulation Concerning Independent Studies for Credit](#)

[College of Arts and Sciences Renumbered Courses](#)

[Administrative Boards of the General College and the College of Arts and Sciences, September 18, 2012 Minutes](#)

[Memo from Provost Carney to Professional School Deans, Regarding Course Renumbering, September 26, 2012](#)

[Progress Reports on Undergraduate Course Renumbering Project, October 4, 2012](#)

[Research-Intensive Course List](#)

[Request from Associate Dean Lindemann to the University Registrar to Revise UPM #4 Standard Course Numbering System](#)

Review of Courses in the Department of African and Afro-American Studies (May 2, 2012)

2/26/2013

RECOMMENDATIONS	RESPONSIBLE PARTY	IMPLEMENTATION
<p>1. New leadership for the Department of African and Afro-American Studies will be appointed.</p>	<p>1. The Faculty Code § 6-3.a. assigns the responsibility for appointing chairs to the Chancellor, upon recommendation of the appropriate dean.</p> <p>2. The Dean of the College of Arts and Sciences bases her recommendation on the advice of the senior associate dean for that particular division, who consults with faculty members in the unit (see Faculty Code and Chair's Manual).</p>	<p>1. The former department chair resigned his post as chair in August 2011 and retired from the faculty on July 1, 2012.</p> <p>2. Prof. Evelyne Huber, distinguished professor and chair of the Department of Political Science, was appointed interim chair of the department from August 2011 through December 2011.</p> <p>3. Prof. Eunice Sahle became department chair effective January 1, 2012.</p>
<p>2. The irregularities identified by the review will be reported to the appropriate authorities.</p>	<p>1. Dean of the College of Arts and Sciences</p> <p>2. Chancellor upon recommendation of the Dean of the College of Arts and Sciences, after consultation with the UNC system president.</p>	<p>1. Dean of the College of Arts and Sciences Gil and Senior Associate Dean Hartlyn met with the Chief of Police at the UNC-Chapel Hill Department of Public Safety on Nov. 22, 2011, regarding the irregularities identified by the review.</p> <p>2. The Chief of Police, in consultation with the Orange County District Attorney and the State Bureau of Investigation, determined that the activities described in the report did not give rise to criminal liability.</p> <p>3. In May 2012, after consulting with UNC System President Ross, Chancellor Thorp directed the Department of Public Safety to contact the State Bureau of Investigation a second time, requesting their help in reviewing potential criminal activity related to how the former department chair conducted and was paid for a summer school course in 2011.</p>

<p>3. The department will initiate a process of evaluating gaps in the department's policies and procedures and establish new ones in consultation with Senior Associate Dean Hartlyn.</p>	<p>1. Interim chair of the Department of African and Afro-American Studies from August 2011 through December 2011</p> <p>2. Chair of the Department of African and Afro-American Studies from January 1, 2012 onward</p>	<p>1. In fall 2011, the department began implementing a new set of requirements and procedures for:</p> <ul style="list-style-type: none"> a. Overseeing independent study courses, b. Submitting grade rolls, and c. Submitting change of grade forms. <p>2. During spring 2012, the department continued a review of policies regarding governance structures, instruction, and instructors at all levels. Policies and procedures addressed included the following:</p> <ul style="list-style-type: none"> a. Grades and grade proxies b. Authority and procedures for submitting change of grade forms c. Grade protests and grade changes d. Use of temporary AB and IN grades e. Independent study courses during academic year and summer sessions f. Oversight of pedagogical formats appropriate to size, level, and nature of courses g. Approval processes for providing courses in independent study format; and h. Monitoring of department course listings and instructors of record during the academic year and during summer sessions. <p>3. The department's review and revision of policies and procedures also focused on the following:</p> <ul style="list-style-type: none"> a. Recognizing and developing departmental governance structures that ensure faculty involvement, oversight, and accountability for decision making; b. Prescribing the role and responsibilities of the department chair and other faculty who assume leadership roles at the behest of the chair; and c. Prescribing the roles and responsibilities of all staff in the department.
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<p>4. The department chair should submit a state-of-the-department report to the senior associate dean before fall 2012 that summarizes the results of the department's review and revision of policies and procedures and that informs the College of Arts and Sciences of any difficulties arising from departmental policies and procedures or any other problems with governance, faculty performance or instruction.</p>	<p>1. Department chair</p>	<ol style="list-style-type: none"> 1. On Sept. 21, 2012, Prof. Sahle sent a memo to Senior Associate Dean Hartlyn reporting on the state of the department and including the department's 2012-2013 Policies and Procedures Notebook, a spring 2012 Academic Affairs Committee report, and a self-assessment report by the department's Planning and Faculty Affairs Committee. Copies of all fall 2012 course syllabi for the department also were submitted. 2. In summer 2012, in preparation for a proposal from the department's Academic Affairs Committee to revise the major and minor, the department's AFAM and AFRI courses were given a new subject code (AAAD), and all courses were renumbered, effective with the fall 2013 semester. 3. Subsequent to the department's review of the curriculum, new requirements for the major and minor were submitted to the Administrative Boards of the General College and the College of Arts and Sciences, which approved them on Oct. 30, 2012, to be effective with the fall 2013 semester. Also approved was a change in the name of the department to the Department of African, African-American, and Diaspora Studies, effective July 1, 2013.
<p>5. The department will implement recommendations called for in the report of the Independent Study Task Force (April 10, 2012).</p>	<p>1. Department chair and executive committee, subsequently approved by the department's faculty members</p>	<ol style="list-style-type: none"> 1. The department developed strong guidelines for independent study courses well before the Independent Study Task Force issued its report. In October 2011 the department approved a document describing requirements and procedures for independent study courses. 2. The October 2011 document was revised in June 2012 to restrict majors to one independent study course in the department (see Independent Study Contract Form and AFAM Chair's Report 2012) 3. The department chair and director of undergraduate studies indicated compliance with the Task Force recommendations on Feb. 14, 2012. 4. To verify compliance, the department submitted, on request of the dean of the College of Arts and Sciences, syllabi for all of its spring semester 2013 courses.

<p>6. Relevant findings will be shared with the dean of Summer School.</p>	<p>1. Provost 2. Dean of the College of Arts and Sciences</p>	<p>1. In December 2011 the Provost, together with the dean of the College of Arts and Sciences, met with the dean of Summer School and requested that she investigate the oversight of faculty teaching loads in summer courses.</p> <p>2. As a result of this meeting, the dean of Summer School undertook three significant actions to strengthen guidelines for teaching in Summer School:</p> <p>a. Implemented the recommendations of the Independent Study Task Force, which limit to two the number of students in a section of independent study, and which restrict to one section the number of independent study courses that a faculty member can oversee in summer. Separate sections must be created for each faculty member supervising independent studies, internships, mentored research, directed readings, or similar courses</p> <p>b. In February 2012, provided to Summer School administrators and managers revised pages of the Summer School Policies and Procedures Manual that had been reviewed by the dean of the College of Arts and Sciences and the Provost. These pages were to be used in planning teaching assignments for summer 2012.</p> <p>c. Reviewed enrollments and teaching loads for all courses taught in summer 2012 in Academic Affairs (by means of course registration summary data provided by the Office of the University Registrar).</p>
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References

[Review of Courses in the Department of African and Afro-American Studies, May 2, 2012](#)

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[Academic Affairs Enrollments and Teaching Load Reports, Summer I 2012](#)

Report of the Special Subcommittee of the Faculty Executive Committee (July 26, 2012)

2/26/2013

RECOMMENDATIONS	RESPONSIBLE PARTY	IMPLEMENTATION
<p>1. Every student should have an academic advisor in Steele Building (Academic Advising) sign off on courses every semester.</p>	<p>1. Associate dean and director of the Academic Advising Program</p>	<p>1. All General College students and College of Arts and Sciences majors and minors are assigned to an advisor in the Academic Advising Program. Advising uses the information provided by first-year and transfer students during their summer orientation session to match them with a primary advisor in one of the College's academic divisions: Humanities and Fine Arts, Natural Sciences and Mathematics, or Social and Behavioral Sciences. Students are welcome to see any advisor within that division. If students change their major to another division within the College of Arts and Sciences, their primary advisor is changed accordingly. Students majoring in a professional school are assigned an advisor in that school when they declare their major.</p> <p>2. Two new assistant deans in the Academic Advising Program have been charged with supervising and monitoring the advising of student-athletes, beginning on April 1, 2013.</p> <p>3. Students on academic probation are required to see an advisor in the Academic Advising Program before registering.</p> <p>4. First-year students are strongly encouraged to see an advisor every semester but are required to do so before they register for their third semester.</p>
<p>2. The director of the Academic Support Program for Student-Athletes (ASPSA) should only be reporting to the associate dean and director of academic services in the College of Arts and Sciences.</p>	<p>1. Chancellor, upon recommendation of the Dean of the College of Arts and Sciences</p>	<p>1. The Chancellor severed the reporting line between the ASPSA director and the Department of Athletics (see Chancellor Thorp letter to Dean Gil and Director of Athletics Cunningham, dated Oct. 9, 2012).</p> <p>2. Dr. Michelle Brown has accepted the position of ASPSA Director, beginning May 6, 2013.</p> <p>3. UNC President Ross has also mandated this change in reporting structure for all UNC schools with intercollegiate athletics programs (see The Report of the UNC Board of Governors Academic Review Panel, Feb. 7, 2013, p. 26).</p> <p>4. Effective May 6, 2013, ASPSA will move into the Office of the Provost, and the Director will report to an Associate Provost.</p>

<p>3. There should be clearer lines of accountability for academic advisors and counselors. Academic advising should be done in Steele Building and approved by the ASPSA counselors in the Loudermilk Center for Excellence, not the other way around.</p>	<ol style="list-style-type: none"> 1. For advisors, the associate dean and director of the Academic Advising Program 2. For counselors, the ASPSA director and associate dean and director of the Center for Student Success and Academic Counseling 	<ol style="list-style-type: none"> 1. The associate dean and director of the Academic Advising Program and the director of the ASPSA have reviewed the missions and responsibilities of their respective programs. A report on the status of their review to date was presented to the Faculty Athletics Committee on Feb. 5, 2013. 2. The Director of Athletics has assigned office space in the Loudermilk Center for Excellence to full-time professional advisors from the Academic Advising Program, to ensure that they have an effective presence in the same facility where student-athletes receive academic counseling and support services through ASPSA. This includes selected evening hours. 3. The College of Arts and Sciences has enhanced its training and supervision of ASPSA counselors. Both units, the Academic Advising Program and the ASPSA, have clarified and coordinated their distinct and complementary roles and responsibilities. 4. Position descriptions of ASPSA employees have been revised and will be entered into the University personnel system after review by the incoming Director.
<p>4. We encourage that greater resources be put into the respective programs for athletic counselors and academic advisors.</p>	<ol style="list-style-type: none"> 1. Provost and his budget committee, upon request by the Dean of the College of Arts and Sciences for the Academic Advising Program 2. Department of Athletics (for the ASPSA budget) 	<ol style="list-style-type: none"> 1. The College of Arts and Sciences and the Department of Athletics each funded an additional assistant dean position in the Academic Advising Program, for a total of two positions. Searches have been completed and anticipated start dates for the two new assistant deans are April 1, 2013. These assistant deans will monitor and oversee the academic advising for all student-athletes. 2. The interim director of the ASPSA, in consultation with the new director, will submit a budget request for FY 2014 asking for additional resources consistent with this recommendation. (Budget hearings are held in the spring semester.)
<p>5. The tutoring staff should be augmented and separated from the mentoring functions.</p>	<ol style="list-style-type: none"> 1. ASPSA director 	<ol style="list-style-type: none"> 1. Six learning assistants have been hired to help the ASPSA full-time learning specialists work holistically with student-athletes. They focus on students with the greatest need for writing and reading instruction, and on those students with documented learning disabilities. 2. The use of mentors has been discontinued.

<p>6. There should be regular auditing of student registrations/transcripts. There must be, for example, regular monitoring of the clustering of student-athletes into particular majors and courses, as well as of any anomalies in any data on student-athlete course registrations.</p>	<ol style="list-style-type: none"> 1. Ad hoc committee consisting of the senior associate dean for undergraduate education, the University Registrar, and the NCAA faculty athletic representative 2. Chair of the Educational Policy Committee (for the Priority Registration Advisory Committee) 	<ol style="list-style-type: none"> 1. Since Dec. 2011, all change of grade forms have required a dean's signature; a secure electronic routing process has now replaced the paper-based process. 2. In fall semester 2012, 24 courses at the University (in the College of Arts and Sciences and in the School of Information and Library Science) were found to enroll more than 20% student-athletes (see attached report). Unit heads (deans, chairs) verified that all of these courses have a syllabus, are meeting as scheduled, and have appropriate assessment mechanisms identified. Grades in courses were reviewed on Feb. 13, 2013 (see attached report) 3. In spring 2013, 60 courses at the University (in the College of Arts and Sciences, the School of Journalism and Mass Communication, and the School of Information and Library Science) were found to enroll more than 20% student-athletes (see attached report). Unit heads (deans, chairs) verified that all of these courses have a syllabus, are meeting as scheduled, and have appropriate assessment mechanisms identified. 4. At the Faculty Council meeting held on Jan. 11, 2013, the chair of the Educational Policy Committee reported on a study of priority registration. Among the findings and recommendations were that 83% of students participating in priority registration were engaged in athletic endeavors, a total of 828 students. The Committee concluded that some accommodation for student-athletes is warranted, given that they officially represent the University, that they were recruited with agreement to participate, and that they must meet strict NCAA and University eligibility requirements (including those for semester credits and accumulated credits). 5. On Jan. 11, 2013, the Faculty Council adopted Resolution 2013-1: "On Amending Resolution 2007-13 Pertaining to Priority Registration". The resolution stipulates that one of the two faculty representatives to the Priority Registration Advisory Committee (PRAC) will be a current (elected) member of, and act as liaison to, the Educational Policy Committee. In addition, courses that enroll too many student-athletes can be removed from priority registration. The priority registration policy will be reviewed again in three years.
<p>7. There should be regular oversight of department chairs' teaching activities (including summer school), as well as auditing of all teaching loads across Carolina Courses Online, summer school, and the regular academic year.</p>	<ol style="list-style-type: none"> 1. Dean of Summer School 2. Dean of the College of Arts and Sciences (via the senior associate deans) 	<ol style="list-style-type: none"> 1. A chair's teaching assignments and evaluations are among the evidence that the senior associate deans examine in conducting their annual review of chairs. 2. Senior associate deans review staffing workload reports annually in September. 3. The Office of Institutional Research and Assessment provides annual teaching assignment reports that are reviewed every February by the senior associate deans. Their observations were then provided to the Dean of College of Arts and Sciences. This includes reports for Summer School.

<p>8. The University needs to offer vocally full and consistent support to the Department of African and Afro-American Studies.</p>	<ol style="list-style-type: none"> 1. Chancellor 2. Faculty Council 3. Dean of the College of Arts and Sciences 	<ol style="list-style-type: none"> 1. On September 7, 2012, the Faculty Council adopted Resolution 2012-9: "On Affirming the Academic Integrity of African and Afro-American Studies". 2. A statement of support from the Carolina Black Caucus also was read into the minutes of the Sept. 7, 2012, Faculty Council meeting. 3. The dean and senior associate dean of the College of Arts and Sciences have met frequently with the faculty in the Department of African and Afro-American Studies to assure them of support. 4. On May 4, 2012, the Dean of the College of Arts and Sciences sent an e-mail message to faculty stressing the importance of the Department of African and Afro-American Studies to the College, and commending the "department's talented and dedicated faculty" for the "many contributions to the University's research, teaching, and service mission." 5. The Dean of the College of Arts and Sciences highlighted the achievements of several faculty members in the Department of African and Afro-American Studies in her presentation to the Board of Trustees on Dec. 20, 2012.
<p>9. There should be a widely publicized set of criteria for evaluating the performance of department chairs.</p>	<ol style="list-style-type: none"> 1. Dean of the College of Arts and Sciences 	<ol style="list-style-type: none"> 1. The duties of a chair are enumerated in Article § 6-3 of the Faculty Code of University Government. 2. The College of Arts and Sciences Chair's Manual (January 2013, p. 17) stipulates that senior associate deans conduct annual reviews of chairs based on the following criteria: their CV; their individual and their unit's annual reports; their teaching assignments and evaluations; and questions about accomplishments and challenges during the past academic year, as well as future goals. 3. Prior to a chair's reappointment (at least once every five years) in the College of Arts and Sciences, the relevant senior associate dean conducts a detailed review of the unit chair based on the additional evidence of staff workload and stewardship reports. These reviews also include face-to-face meetings with the chair and consultation with the unit's faculty members.

<p>10. The Educational Policy Committee should initiate a study of University-wide policies for course syllabi.</p>	<ol style="list-style-type: none"> 1. Educational Policy Committee of the Faculty Council 2. The Faculty Council 3. Provost and Deans 	<ol style="list-style-type: none"> 1. On August 29, 2012, the Educational Policy Committee drafted and approved guidelines for the content of course syllabi. 2. On Sept. 18, 2012, the Administrative Boards of the General College and the Colleges of Arts and Sciences adopted a “Statement on the Contents of a Course Syllabus.” 3. On Oct. 15, 2012, the Faculty Council adopted Resolution 2012-11: “On Guidelines for Course Syllabi.” 4. On Nov. 1, 2012, the Provost informed the Deans’ Council about the syllabus guidelines. 5. On Nov. 29, 2012, Senior Associate Dean Owen distributed an annotated version of the syllabus guidelines to chairs and directors of undergraduate studies in the College of Arts and Sciences. 6. On Feb. 1, 2013, Provost Carney asked the deans to verify that syllabi were available (in print or electronically) for all classes offered in their units on the first day of classes, and to advise him of their plans for retaining the syllabi. 7. On Feb. 4, 2013, the Dean of the College of Arts and Sciences and the senior associate dean for Undergraduate Education requested that chairs verify on a form that their units had complied with syllabus and independent study requirements. 8. To verify compliance, a random sample of 404 syllabi was identified by the Office of Institutional Research and Assessment and collected by the College of Arts and Sciences. 9. On Feb. 19, 2013, the Office of Institutional Research and Assessment provided a random sample of courses in the professional schools to the Provost, who asked the deans to submit syllabi for each course on the lists he provided to them. 10. The Provost and the Office of the University Registrar have implemented a process for visiting selected classrooms at scheduled meeting times to confirm that classes are being held as scheduled. On Feb. 19, 2013, the Provost instructed all deans to send him a report on lecture courses and other courses that were intended to meet on a regular basis with an instructor; if a class was not meeting at its proper time and location, the report needed to provide a reason and the class would be checked again later. 11. On Feb. 21, 2013, the Dean of the College of Arts and Sciences reported to the Provost that 187 classrooms assigned to Monday-Wednesday-Friday and Tuesday-Thursday classes had been checked.
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<p>11. To improve communication and increase transparency, we propose regular publication of status reports to the faculty, detailing progress on implementation of all recommendations since 2011 and responses to them.</p>	<ol style="list-style-type: none"> 1. Chancellor and the Secretary of the University 2. Chair of the Faculty Athletics Committee 3. Dean of the College of Arts and Sciences via the senior associate deans 	<ol style="list-style-type: none"> 1. UNC-Chapel Hill created a website at http://academicreview.unc.edu <small>URL</small> to keep the campus community, alumni, friends, and the public informed about the efforts to investigate and address the academic irregularities discovered in 2011. 2. The Chancellor updates the Faculty Council at each of its monthly meetings. 3. On Sept. 7, 2012, the chair of the Faculty Athletics Committee provided a PowerPoint report to the Faculty Council on the committee's structure and work plan for the academic year. 4. On Dec. 7, 2012, the chair of the Faculty Athletics Committee provided a PowerPoint update to the Faculty Council on the student-athlete experience and the role of team liaisons. 5. On Feb. 8, 2013, the chair of the Faculty Athletics Committee provided a PowerPoint report to the Faculty Council concerning the admission and advising of student-athletes. Forthcoming reports to the Faculty Council will address academic support, policies and procedures, and operations. 6. On March 4, 2013, Senior Associate Dean Owen provided a progress report to the Faculty Executive Committee on the implementation of these recommendations.
<p>12. The ASPSA's Faculty Athletic Committee (FAC) members need independent access to course enrollment and grade statistics on student-athletes.</p>	<ol style="list-style-type: none"> 1. University Registrar 	<ol style="list-style-type: none"> 1. A report on fall 2012 grades was reviewed on Feb. 13, 2013, by an ad hoc committee consisting of the senior associate dean for undergraduate education, the University Registrar, and the NCAA faculty athletic representative.
<p>13. We propose that a partnership between the Department of Athletics and the College of Arts and Sciences be established to look for ways of integrating student-athletes into campus life "beyond the game." (See also Section B, p. 7, of the report.)</p>	<ol style="list-style-type: none"> 1. Director of Athletics 2. Dean of the College of Arts and Sciences 	<ol style="list-style-type: none"> 1. In August 2012, the Department of Athletics hired two new senior administrators to better coordinate athletics oversight in conjunction with the College of Arts and Sciences and the administration: <ol style="list-style-type: none"> a. Senior Associate Athletic Director Vince Ille, who was previously at the University of Illinois, is the liaison with academic advising and counseling for student-athletes. Ille will coordinate with the College of Arts and Sciences, supervise the compliance program, and work with staff to minimize the risk of NCAA infractions. b. Associate Director Paul Pogge (previously at the University of Denver) coordinates student-athlete eligibility, the NCAA's Academic Progress Rankings, risk assessment, and summer camps.

<p>14. We also encourage the academic advising program in the College of Arts and Sciences to better publicize the fact that certain programs located in the Loudermilk Center (e.g. supplemental instruction) are available for all undergraduate students, and that these programs be enumerated on the ASPSA website.</p>	<ol style="list-style-type: none"> 1. Associate dean and director of the Academic Advising Program 2. ASPSA director 	<ol style="list-style-type: none"> 1. The 2012-2013 Academic Advising Guide provides a generous list of "Student Resources." Future editions will carry the same information.
<p>15. We encourage the Faculty Athletics Committee to form a partnership with Director of Athletics Cunningham to seek some transparent assurance that all team coaches are adhering to the idea of promoting the educational aspirations of student-athletes.</p>	<ol style="list-style-type: none"> 1. Athletic Director 2. Chair of the Faculty Athletics Committee 	<ol style="list-style-type: none"> 1. In 2012-2013 each member of the FAC was assigned to an athletic team, with the charge to become acquainted with that sport, its schedules, commitments, coaches, and student-athletes, so that the FAC member could bring that team's perspective to FAC discussions. Coaches have also discussed academic issues with their FAC member, so the exchanges appear to be mutually beneficial. 2. Reports to date on this new role for FAC members have been positive. 3. The Director of Athletics participates in monthly FAC meetings and has been accessible to the chair of the FAC. He has expressed appreciation for all comments and has adopted FAC recommendations, including those pertaining to the assessment process for exiting student-athletes.
<p>16. We encourage the Office of Undergraduate Admissions to develop clear guidelines and rationales for reversing decisions of the Advisory Committee of Undergraduate Admissions' Subcommittee on Special Talent with regard to the admission of students considered under the "committee case" procedures.</p>	<ol style="list-style-type: none"> 1. Vice Provost for Enrollment and Undergraduate Admissions 2. Undergraduate Admissions Advisory Committee 	<ol style="list-style-type: none"> 1. The Committee on Undergraduate Admissions presented its annual report, together with a PowerPoint presentation, at the Feb. 8, 2013, meeting of the Faculty Council. 2. The attached document identifies the members, charge, and procedures followed by Advisory Committee on Undergraduate Admissions' Subcommittee on Special Talent. One of its responsibilities is "reviewing the final decisions made by the Office of Undergraduate Admissions, and receiving and responding to the explanation offered by that office should any final decision differ from the decision recommended by the subcommittee." The Office of Undergraduate Admissions has never admitted a student whom the Subcommittee on Special Talent had declined to recommend.
<p>17. We recommend the appointment of an independent panel, composed of individuals outside the University with experience in higher education administration, that will be charged with the task of looking broadly at athletics and academics.</p>	<ol style="list-style-type: none"> 1. Chancellor 	<ol style="list-style-type: none"> 1. Chancellor Thorp has invited Dr. Hunter R. Rawlings III, president of the American Association of Universities, and a blue-ribbon panel to lead a discussion about the intersection between athletics and academics in a university, beginning with UNC-Chapel Hill. Among the topics to be addressed are the role of athletics in the life of a university, admissions, academic support, and student life. 2. The initial meeting will be held in April 2013, with additional meetings during the spring and summer, and a final report scheduled for fall 2013.

References

[Report of the Special Subcommittee of the Faculty Executive Committee, July 26, 2012](#)

[E-mail Regarding How Advisors Are Assigned to First Year and Transfer Students](#)

[Letter from Chancellor Thorp to Dean Gil and Director of Athletics Cunningham, Regarding Reporting Line of ASPSA Director, October 9, 2012](#)

[Michelle Brown CV](#)

[Report of the UNC Board of Governors Academic Review Panel, February 7, 2013](#)

[Academic Advising and Academic Support Programs Presentation and Partnership between Academic Advising and ASPSA, February 5, 2013](#)

[Resumes of Six ASPSA Learning Assistants](#)

[Report on Student-Athlete Enrollment Pattern Monitoring for Fall 2012](#)

[Grade Review for Student-Athlete Enrollment Pattern Monitoring for Fall 2012](#)

[Report on Student-Athlete Enrollment Pattern Monitoring for Spring 2013](#)

[Educational Policy Committee's Review and Recommendations regarding Priority Registration, January 11, 2013](#)

[Resolution 2013-1. On Amending Resolution 2007-13 Pertaining to Priority Registration](#)

[Chair's Manual, Chair Reviews](#)

[E-mail Announcing That the Staffing Workload System for 2011-2012 Is Open](#)

[Senior Associate Deans' Report on Teaching Assignment Reviews, February 2013](#)

[Resolution 2012-9. On Affirming the Academic Integrity of African and Afro-American Studies](#)

[Carolina Black Caucus Statement of Support for the Department of African and Afro-American Studies](#)

[E-mail from Dean Gil to Faculty of the College of Arts and Sciences, Regarding Importance of the Department of African and Afro-American Studies, May 4, 2012](#)

[Achievements of Department of African and Afro-American Studies Faculty Presented to the Board of Trustees, December 20, 2012](#)

[Faculty Code, Section 6-3.a](#)

Appendix

First Monitoring Report

[Educational Policy Committee Meeting Minutes, August 29, 2012](#)

[Administrative Boards of the General College and the College of Arts and Sciences, September 18, 2012 Minutes](#)

[Resolution 2012-11. On Guidelines for Course Syllabi](#)

[Memo from Senior Associate Dean Owen to Chairs and Directors of Undergraduate Study, Regarding Instructor Guidelines for Course Syllabi and Class Blogs, November 29, 2012](#)

[Annotated Version of Syllabus Guidelines](#)

[Memo from Provost Carney to Deans, Regarding Course Syllabi for Undergraduate and Graduate Courses, February 1, 2013](#)

[Memo from Dean Gil and Senior Associate Dean Owen to Chairs, Regarding Spring 2013 Course Syllabi and Independent Study Contracts, February 4, 2013](#)

[Course Syllabi and Independent Study Contracts Verification Form](#)

[E-mail Regarding Random Sampling Request for Syllabi, February 18, 2013](#)

[Memo from Provost Carney to Deans, Regarding Course Syllabi, February 19, 2013](#)

[College of Arts and Sciences Classroom Check, March 1, 2013](#)

[UNC-Chapel Hill Academic Review Website !\[\]\(793bf6dcd376daca3cb4f48dad3f83de_img.jpg\) URL](#)

[Academics, Athletics, Faculty Athletics Committee PowerPoint Presentation, September 7, 2012](#)

[The Faculty Athletics Committee Update PowerPoint Presentation, December 7, 2012](#)

[The Faculty Athletics Committee Update PowerPoint Presentation, February 8, 2013](#)

[Senior Associate Athletic Director Vincent Ille Biography and Resume](#)

[Associate Athletic Director Paul Pogge Biography and Resume](#)

[2012-2013 Academic Advising Guide, Student Resources](#)

[E-mail Regarding Faculty Athletic Committee Members Assignment to Athletic Team, February 22, 2013](#)

[Advisory Committee on Undergraduate Admissions, 2011-2012 Annual Report, February 8, 2013](#)

[Advisory Committee on Undergraduate Admissions PowerPoint Presentation to Faculty Council, February 8, 2013](#)

[Charge, Membership, and Procedures of the Subcommittee on Special Talent](#)

[Panel on the Role of Athletics in the Life of the University](#)

Implementation/Completion Status of Strategies to Mitigate Risks to Academic Integrity Reviewed by Baker Tilly

Risks Identified	Implementation Plans Reviewed by Baker Tilly	Responsible Party	Completion Status as of March 8, 2013	
			Actions Taken	Date Completed
1. A student receives a grade and credit for a course in which an inappropriate amount of work was required of and/or performed by the student.	Syllabus requirement for all credit-bearing courses, to include a list of all assignments and grade weights for each, and a clear assessment scale detailing points for each letter grade.	Faculty Governance -- approval of policy and guidelines.	Faculty Council adopted Resolution and "Syllabus Guidelines" for implementation spring 2013	October 5, 2012
		Provost -- implementation	Communicated campus-wide syllabus policy to deans	November 1, 2012
	Registrar to communicate requirements in the procedures for course section scheduling and monitor compliance with scheduling information in the system.	Office of University Registrar (OUR)	OUR sends regular reminders about scheduling requirement to enter course instructor and meeting information. Schedulers have access to reports on these classes.	February 2013
	Academic units collect and maintain course syllabi for four years	Provost, Deans, Chairs	Deans implemented spring 2013; reported to Provost regarding syllabi retention arrangements.	February 15, 2013
		Provost, Institutional Research & Assessment	Compliance audit; deans provided Provost with actual syllabi in response to random sample of classes	February 25, 2013
	Implement a process for visiting classrooms at scheduled meetings times to confirm that classes are being held as scheduled for a sample of course sections each academic term.	Provost, Deans	Deans conducted spring 2013 classroom checks and reported findings to Provost	February 25, 2013

2. A student's grade is changed without authorization by the instructor of record for the course.	Add layer of review/control by requiring all grade changes to be approved by Sr. Assoc Dean and Director of Academic Advising in College of Arts & Sciences.	Provost; Sr. Associate Dean and Director of Academic Advising in College of Arts & Sciences	All grade changes are approved by Sr. Assoc Dean and Director of Academic Advising in College of Arts & Sciences.	September 2011
	Convert the grade change process from a paper-based and form driven process to an automated process similar to grade roster submission. Only instructors of record will be authorized to change a temporary grade to a permanent grade in the new process. Permanent grade changes will require the approval of the instructor of record, unit chair, and Dean (or designee).	University Registrar	New electronic grade change system developed and ready for implementation	March 18, 2013
	Implement preventative and detective controls for academic unit schedulers' and actions that can be taken without review at another level	University Registrar	With new electronic system, only faculty member of record has access to submit grade changes.	March 18, 2013
	Further limit the time periods in which schedulers may change levels of access for users, schedule course sections, and assign grades to students	University Registrar	Security measures to limit when schedulers can update class information were modified. Unit schedulers cannot make any changes to instructor assignments or grading responsibilities after the 8th week of classes when the Permanent Record of Courses is produced. All changes before this date are fully auditable.	June 2012

	Use the audit trail generated by the system to regularly monitor the activities of schedulers	University Registrar	Audit reports will be generated out of new grade change system. Audit reports concerning class information are a delivered component of PeopleSoft.	March 18, 2013
	Limit the use of proxies to approve grades (i.e., individuals other than the instructor of record in all but the most unusual circumstances)	University Registrar	Only faculty member of record has access to submit grade changes in new electronic grade system. Currently, all grade rosters are auditable and reports are run to identify and review classes that have been approved by authorized proxies.	March 18, 2013
	Modify the system to enforce the roles within the system user tables to prevent users other than the instructor of record from having access to approve grades	University Registrar	Modification request submitted to ITS with highest priority. This is a significant, albeit necessary, modification to the system so the completion date is estimated to be January 2014. Until completion, audit reports will continue to be run to monitor grading approval patterns and proxy access.	January 2014
	Require renewing FERPA certification (i.e., similar to Institutional Review Board certification) by the Office of the Registrar for all instructors of record on a two year cycle.	Provost, University Registrar	Decision has been made by University Registrar and Provost to implement this new requirement when PeopleSoft HR module goes live. HR Module will allow tracking of FERPA training, testing, and renewal requirements for all faculty and staff.	Scheduled for January 2014
3. A student receives a grade and credit for a course based on work that was not assigned and/or evaluated by the instructor of record.	AFAM Department: new leadership; governance structure; policy governing independent study; standard practices on handling course syllabi, faculty absences, and grade forms are followed.	AFAM Dept Chair, Sr. Associate Dean for Social Sciences, College of Arts & Sciences	Implementation of independent study policy and monitoring of course syllabi, faculty absences, and grading handling	Fall 2012
	Add layer of review/control by requiring all grade changes to be approved by Sr. Assoc Dean and Director of Academic Advising in College of Arts & Sciences.	Provost; Sr. Associate Dean and Director of Academic Advising in College of Arts & Sciences	All grade changes are approved by Sr. Assoc Dean and Director of Academic Advising in College of Arts & Sciences.	September 2011
	Convert the grade change process from a paper-based and form driven process to an automated process similar to grade roster submission. Only instructors of record will be authorized to change a temporary grade to a permanent grade in the new process. Permanent grade changes will require the approval of the instructor of record, unit chair, and Dean (or designee).	University Registrar	New electronic grade change system developed and ready for implementation	March 18, 2013

Implement preventative and detective controls for academic unit schedulers' and actions that can be taken without review at another level	University Registrar	With new electronic system, only faculty member of record has access to submit grade changes.	March 18, 2013
Further limit the time periods in which schedulers may change levels of access for users, schedule course sections, and assign grades to students	University Registrar	Security measures to limit when schedulers can update class information were modified. Unit schedulers cannot make any changes to instructor assignments or grading responsibilities after the 8th week of classes when the Permanent Record of Courses is produced. All changes before this date are fully auditable.	June 2012
Use the audit trail generated by the system to regularly monitor the activities of schedulers	University Registrar	Audit reports will be generated out of new grade change system. Audit reports concerning class information are a delivered component of PeopleSoft.	March 18, 2013
Limit the use of proxies to approve grades (i.e., individuals other than the instructor of record in all but the most unusual circumstances)	University Registrar	Only faculty member of record has access to submit grade changes in new electronic grade system. Currently, all grade rosters are auditable and reports are run to identify and review classes that have been approved by authorized proxies.	March 18, 2013
Modify the system to enforce the roles within the system user tables to prevent users other than the instructor of record from having access to approve grades	University Registrar	Modification request submitted to ITS with highest priority. This is a significant, albeit necessary, modification to the system so the completion date is estimated to be January 2014. Until completion, audit reports will continue to be run to monitor grading approval patterns and proxy access.	January 2014
Require renewing FERPA certification (i.e., similar to Institutional Review Board certification) by the Office of the Registrar for all instructors of record on a two year cycle.	Provost, University Registrar	Decision has been made by University Registrar and Provost to implement this new requirement when PeopleSoft HR module goes live. HR Module will allow tracking of FERPA training, testing, and renewal requirements for all faculty and staff.	Scheduled for January 2014

4. Course assignments and grading standards are inconsistent with University expectations or requirements.	Syllabus requirement for all credit-bearing courses, to include a list of all assignments and grade weights for each, and a clear assessment scale detailing points for each letter grade.	Faculty Governance -- approval of policy and guidelines.	Faculty Council adopted Resolution and "Syllabus Guidelines" for implementation spring 2013	October 5, 2012
		Provost -- implementation	Communicated campus-wide syllabus policy to deans	November 1, 2012
	Registrar to communicate requirements in the procedures for course section scheduling and monitor compliance with scheduling information in the system.	Office of University Registrar (OUR)	OUR sends regular reminders about scheduling requirement to enter course instructor and meeting information ant courses. Schedulers have access to reports on these classes.	February 2013
	Academic units collect and maintain course syllabi for four years	Provost, Deans, Chairs	Deans implemented spring 2013; reported to Provost regarding syllabi retention arrangements.	February 15, 2013
		Provost, Institutional Research & Assessment	Compliance audit; deans provided Provost with actual syllabi in response to random sample of classes	February 25, 2013
	Implement a process for visiting classrooms at scheduled meetings times to confirm that classes are being held as scheduled for a sample of course sections each academic term.	Provost, Deans	Deans conducted spring 2013 classroom checks and reported findings to Provost	February 25, 2013
	AFAM Dept Contract for Independent Study Courses Requirements and Procedures (Rev. June 2012): Student required to meet with Faculty advisor bi-weekly and maintain log of research activities to be submitted to advisor prior to each meeting for Dept Records.	AFAM Dept Chair, Sr. Associate Dean for Social Sciences, College of Arts & Sciences	Effective Fall 2012 but no independent study enrollments that semester.	Fall 2012
	AFAM Dept Contract for Independent Study Courses Requirements and Procedures (Rev. June 2012): Assignments and workload for a 3-credit hour independent study project: a. Preliminary annotated bibliography (journals, book, archives, other scholarly sources) – Due within the first 4 weeks of semester. b. Detailed research paper outline by week 10. c. Bi-weekly research log – research activities and discussions with Faculty advisor. d. 25-page research paper due end of semester. Internships and other non-traditional course formats require similar learning contracts.	AFAM Dept Chair, Sr. Associate Dean for Social Sciences, College of Arts & Sciences	Effective Fall 2012 but no independent study enrollments that semester.	Fall 2012

5. Contact hours with instructors for a course do not meet University expectations or requirements.	AFAM Dept Contract for Independent Study Courses Requirements and Procedures (Rev. June 2012): Assignments and workload for a 3-credit hour independent study project: a. Preliminary annotated bibliography (journals, book, archives, other scholarly sources) – Due within the first 4 weeks of semester. b. Detailed research paper outline by week 10. c. Bi-weekly research log – research activities and discussions with Faculty advisor. d. 25-page research paper due end of semester. Internships and other non-traditional course formats require similar learning contracts.	AFAM Dept Chair, Sr. Associate Dean for Social Sciences, College of Arts & Sciences	Effective Fall 2012 but no independent study enrollments that semester.	Fall 2012
	Syllabus requirement for all credit-bearing courses, to include a list of all assignments and grade weights for each, and a clear assessment scale detailing points for each letter grade.	Faculty Governance -- approval of policy and guidelines.	Faculty Council adopted Resolution and "Syllabus Guidelines" for implementation spring 2013	October 5, 2012
		Provost -- implementation	Communicated campus-wide syllabus policy to deans	November 1, 2012
	Registrar to communicate requirements in the procedures for course section scheduling and monitor compliance with scheduling information in the system.	University Registrar	OUR sends regular reminders about scheduling requirement to enter course instructor and meeting information. Schedulers have access to reports on these classes.	February 2013
	Academic units collect and maintain course syllabi for four years	Provost, Deans, Chairs	Deans implemented spring 2013; reported to Provost regarding syllabi retention arrangements.	February 15, 2013
		Provost, Institutional Research & Assessment	Compliance audit; deans provided Provost with actual syllabi in response to random sample of classes	February 25, 2013
Implement a process for visiting classrooms at scheduled meetings times to confirm that classes are being held as scheduled for a sample of course sections each academic term.	Provost, Deans	Deans conducted spring 2013 classroom checks and reported findings to Provost	February 25, 2013	

6. An instructor's course load exceeds University standards.	New independent study policy requires a written individual learning contract and restricts the number of independent studies that a faculty member can supervise each term.	Dean and Chairs, College of Arts & Sciences	Dean required chairs to develop contract templates; chairs implemented with independent study enrollments in spring 2013	Spring 2013
	Chair's Manual from the College of Arts & Sciences: Process for conducting annual workload analysis for summer, fall, spring of each year using report from Institutional Research	Dean, Institutional Research & Assessment	Workload reports created for annual analyses implemented 2011	February 2011
	Sr. associate deans will monitor compliance with workload standards using instructor workload reports for most recent year; instances of non-compliance will be provided to the Dean of College of Arts and Sciences.	Sr. Associate Deans	Sr. Associate Deans' analysis of workload reports and submission of report to dean concerning non-compliance.	February 2011
	Independent study requirement also applies to internships, undergraduate research, honors thesis, service learning, practicum, and other non-traditional course formats;	Dean and Chairs, College of Arts & Sciences	Dean required chairs to develop contract templates; chairs implemented with independent study enrollments in spring 2013	Spring 2013
7. The individual who scheduled a course or made changes to a course schedule was not authorized to do so or cannot be identified.	AFAM Academic Affairs Committee – Establish criteria for review of new course proposals, review new course proposals and Independent Studies proposals, enforce requirements of the department's Independent Study Contract.	AFAM Dept Chair	Developed criteria 2011-12, began review process fall 2012	Fall 2012
	New centralized database in PeopleSoft that allows only authorized access and facilitates tracking and monitoring of teaching and enrollments.	University Registrar	Implemented with continuing enhancements to security	Fall 2010
	Implement preventative and detective controls for academic unit schedulers' and actions that can be taken without review at another level	University Registrar	With new electronic system, only faculty member of record has access to submit grade changes.	March 18, 2013
	Further limit the time periods in which schedulers may change levels of access for users, schedule course sections, and assign grades to students	University Registrar	Security measures to limit when schedulers can update class information were modified. Unit schedulers cannot make any changes to instructor assignments or grading responsibilities after the 8th week of classes when the Permanent Record of Courses is produced. All changes before this date are fully auditable.	June 2012
	Use the audit trail generated by the system to regularly monitor the activities of schedulers	University Registrar	Audit reports will be generated out of new grade change system. Audit reports concerning class information are a delivered component of PeopleSoft.	March 18, 2013

8. The individual who assigns grades to students is not authorized to do so or cannot be identified.	AFAM Department: new leadership; governance structure; policy governing independent study; standard practices on handling course syllabi, faculty absences, and grade forms are followed.	AFAM Dept Chair, Sr. Associate Dean for Social Sciences, College of Arts & Sciences	Implementation of independent study policy and monitoring of course syllabi, faculty absences, and grading handling	Fall 2012
	Add layer of review/control by requiring all grade changes to be approved by Sr. Assoc Dean and Director of Academic Advising in College of Arts & Sciences.	Provost; Sr. Associate Dean and Director of Academic Advising in College of Arts & Sciences	All grade changes are approved by Sr. Assoc Dean and Director of Academic Advising in College of Arts & Sciences.	September 2011
	Convert the grade change process from a paper-based and form driven process to an automated process similar to grade roster submission. Only instructors of record will be authorized to change a temporary grade to a permanent grade in the new process. Permanent grade changes will require the approval of the instructor of record, unit chair, and Dean (or designee).	University Registrar	New electronic grade change system developed and ready for implementation	March 18, 2013
	Implement preventative and detective controls for academic unit schedulers' and actions that can be taken without review at another level	University Registrar	With new electronic system, only faculty member of record has access to submit grade changes.	March 18, 2013
	Further limit the time periods in which schedulers may change levels of access for users, schedule course sections, and assign grades to students	University Registrar	Security measures to limit when schedulers can update class information were modified. Unit schedulers cannot make any changes to instructor assignments or grading responsibilities after the 8th week of classes when the Permanent Record of Courses is produced. All changes before this date are fully auditable.	June 2012
	Use the audit trail generated by the system to regularly monitor the activities of schedulers	University Registrar	Audit reports will be generated out of new grade change system. Audit reports concerning class information are a delivered component of PeopleSoft.	March 18, 2013

	Limit the use of proxies to approve grades (i.e., individuals other than the instructor of record in all but the most unusual circumstances)	University Registrar	Only faculty member of record has access to submit grade changes in new electronic grade system. Currently, all grade rosters are auditable and reports are run to identify and review classes that have been approved by authorized proxies.	March 18, 2013
	Modify the system to enforce the roles within the system user tables to prevent users other than the instructor of record from having access to approve grades	University Registrar	Modification request submitted to ITS with highest priority. This is a significant, albeit necessary, modification to the system so the completion date is estimated to be January 2014. Until completion, audit reports will continue to be run to monitor grading approval patterns and proxy access.	January 2014
	Require renewing FERPA certification (i.e., similar to Institutional Review Board certification) by the Office of the Registrar for all instructors of record on a two year cycle.	Provost, University Registrar	Decision has been made by University Registrar and Provost to implement this new requirement when PeopleSoft HR module goes live. HR Module will allow tracking of FERPA training, testing, and renewal requirements for all faculty and staff.	Scheduled for January 2014
9. The individual who submits changes for temporary and/or permanent grades is not authorized to do so or cannot be identified.	Add layer of review/control by requiring all grade changes to be approved by Sr. Assoc Dean and Director of Academic Advising in College of Arts & Sciences.	Provost; Sr. Associate Dean and Director of Academic Advising in College of Arts & Sciences	All grade changes are approved by Sr. Assoc Dean and Director of Academic Advising in College of Arts & Sciences.	September 2011
	Convert the grade change process from a paper-based and form driven process to an automated process similar to grade roster submission. Only instructors of record will be authorized to change a temporary grade to a permanent grade in the new process. Permanent grade changes will require the approval of the instructor of record, unit chair, and Dean (or designee).	University Registrar	New electronic grade change system developed and ready for implementation	March 18, 2013
	Implement preventative and detective controls for academic unit schedulers' and actions that can be taken without review at another level	University Registrar	With new electronic system, only faculty member of record has access to submit grade changes.	March 18, 2013
	Further limit the time periods in which schedulers may change levels of access for users, schedule course sections, and assign grades to students	University Registrar	Security measures to limit when schedulers can update class information were modified. Unit schedulers cannot make any changes to instructor assignments or grading responsibilities after the 8th week of classes when the Permanent Record of Courses is produced. All changes before this date are fully auditable.	June 2012

	Use the audit trail generated by the system to regularly monitor the activities of schedulers	University Registrar	Audit reports will be generated out of new grade change system. Audit reports concerning class information are a delivered component of PeopleSoft.	March 18, 2013
	Limit the use of proxies to approve grades (i.e., individuals other than the instructor of record in all but the most unusual circumstances)	University Registrar	Only faculty member of record has access to submit grade changes in new electronic grade system. Currently, all grade rosters are auditable and reports are run to identify and review classes that have been approved by authorized proxies.	March 18, 2013
	Modify the system to enforce the roles within the system user tables to prevent users other than the instructor of record from having access to approve grades	University Registrar	Modification request submitted to ITS with highest priority. This is a significant, albeit necessary, modification to the system so the completion date is estimated to be January 2014. Until completion, audit reports will continue to be run to monitor grading approval patterns and proxy access.	January 2014
	Require renewing FERPA certification (i.e., similar to Institutional Review Board certification) by the Office of the Registrar for all instructors of record on a two year cycle.	Provost, University Registrar	Decision has been made by University Registrar and Provost to implement this new requirement when PeopleSoft HR module goes live. HR Module will allow tracking of FERPA training, testing, and renewal requirements for all faculty and staff.	Scheduled for January 2014
10. University Administrators do not effectively monitor course sections to identify related anomalies.	New centralized database in PeopleSoft that allows only authorized access and facilitates tracking and monitoring of teaching and enrollments.	University Registrar	Implemented with continuing enhancements to security	Fall 2010
	Add layer of review/control by requiring all grade changes to be approved by Sr. Assoc Dean and Director of Academic Advising in College of Arts & Sciences.	Provost; Sr. Associate Dean and Director of Academic Advising in College of Arts & Sciences	All grade changes are approved by Sr. Assoc Dean and Director of Academic Advising in College of Arts & Sciences.	September 2011
	Convert the grade change process from a paper-based and form driven process to an automated process similar to grade roster submission. Only instructors of record will be authorized to change a temporary grade to a permanent grade in the new process. Permanent grade changes will require the approval of the instructor of record, unit chair, and Dean (or designee).	University Registrar	New electronic grade change system developed and ready for implementation	March 18, 2013

Implement preventative and detective controls for academic unit schedulers' and actions that can be taken without review at another level	University Registrar	With new electronic system, only faculty member of record has access to submit grade changes.	March 18, 2013
Further limit the time periods in which schedulers may change levels of access for users, schedule course sections, and assign grades to students	University Registrar	Security measures to limit when schedulers can update class information were modified. Unit schedulers cannot make any changes to instructor assignments or grading responsibilities after the 8th week of classes when the Permanent Record of Courses is produced. All changes before this date are fully auditable.	June 2012
Use the audit trail generated by the system to regularly monitor the activities of schedulers	University Registrar	Audit reports will be generated out of new grade change system. Audit reports concerning class information are a delivered component of PeopleSoft.	March 18, 2013
Limit the use of proxies to approve grades (i.e., individuals other than the instructor of record in all but the most unusual circumstances)	University Registrar	Only faculty member of record has access to submit grade changes in new electronic grade system. Currently, all grade rosters are auditable and reports are run to identify and review classes that have been approved by authorized proxies.	March 18, 2013
Modify the system to enforce the roles within the system user tables to prevent users other than the instructor of record from having access to approve grades	University Registrar	Modification request submitted to ITS with highest priority. This is a significant, albeit necessary, modification to the system so the completion date is estimated to be January 2014. Until completion, audit reports will continue to be run to monitor grading approval patterns and proxy access.	January 2014
Require renewing FERPA certification (i.e., similar to Institutional Review Board certification) by the Office of the Registrar for all instructors of record on a two year cycle.	Provost, University Registrar	Decision has been made by University Registrar and Provost to implement this new requirement when PeopleSoft HR module goes live. HR Module will allow tracking of FERPA training, testing, and renewal requirements for all faculty and staff.	Scheduled for January 2014
New independent study policy requires a written individual learning contract and restricts the number of independent studies that a faculty member can supervise each term.	Dean and Chairs, College of Arts & Sciences	Dean required chairs to develop contract templates; chairs implemented with independent study enrollments in spring 2013	Spring 2013
Chair's Manual from the College of Arts & Sciences: Process for conducting annual workload analysis for summer, fall, spring of each year using report from Institutional Research	Dean	Workload reports created for annual analyses implemented 2011	February 2011

	Sr. associate deans will monitor compliance with workload standards using instructor workload reports for most recent year; instances of non-compliance will be provided to the Dean of College of Arts and Sciences.	Sr. Associate Deans	Sr. Associate Deans' analysis of workload reports and submission of report to dean concerning non-compliance.	February 2011
	Independent study requirement also applies to internships, undergraduate research, honors thesis, service learning, practicum, and other non-traditional course formats;	Dean and Chairs, College of Arts & Sciences	Dean required chairs to develop contract templates; chairs implemented with independent study enrollments in spring 2013	Spring 2013
11. The University appoints or reappoints a department chair who is unqualified or unprepared or has not performed at a satisfactory level.	AFAM Dept 2012-2013 Policies and Procedures Notebook – Department personnel policies and procedures will be revised and submitted to the Dean's office for approval. Current university policies on tenure review, post-tenure review and promotion are available on-line.	Dean, Sr. Associate Dean, Chair of AFAM	AFAM Dept 2012-13 Policies and Procedures Notebook: General Policies, submitted to Dean for approval.	Fall 2012
	AFAM Dept 2012-2013 Policies and Procedures Notebook – Department's Governance Structure: 2012-13 Chair's responsibilities: Prepares the departmental budget, Administers departmental personnel policies, including annual and other required faculty evaluations, Makes recommendations for appointments, salary increases, promotions, and tenure, Prepares course offerings and assigns teaching duties, Formulates educational policies, Maintains instructional facilities, Leads fundraising for the department, Other duties assigned by the Dean's Office.	Dean, Sr. Associate Dean, Chair of AFAM	AFAM Dept 2012-2013 Policies and Procedures Notebook: Department's Governance Structure	Fall 2012
	AFAM Dept 2012-2013 Policies and Procedures Notebook –Department's Governance Structure: 2012-13 Department's Committees (Table indicating Name, Members, Responsibilities): Personnel Policy Committee and Courses Audit Committee Responsibilities – Update the department's 1995 personnel policies and bring them in line with University policies the 2012 College template on tenured and tenure-track personnel policies for reappointment, promotion and tenure, Update the department's 1998 Post-Tenure Review to bring it in line with University policies, Advise the Chair on salary equity and compression matters.	AFAM Chair	AFAM Dept 2012-2013 Policies and Procedures Notebook: Department's Committees	Fall 2012
	Yearly reviews department chairs will be conducted prior to reappointment, annual reviews of department chairs conducted with a more intensive review before renewing any chair's appointment.	Dean, College of Arts & Sciences	Revised versions of the Chair's Manual documented and communicated the new requirements for evaluating academic unit chairs.	Fall 2012

12 A course does not have an approved syllabus before the first day of class.	AFAM Department: new leadership; governance structure; policy governing independent study; standard practices on handling course syllabi, faculty absences, and grade forms are followed.	AFAM Dept Chair, Sr. Associate Dean for Social Sciences, College of Arts & Sciences	Implementation of independent study policy and monitoring of course syllabi, faculty absences, and grading handling	Fall 2012
	Syllabus requirement for all credit-bearing courses, to include a list of all assignments and grade weights for each, and a clear assessment scale detailing points for each letter grade.	Faculty Governance -- approval of policy and guidelines.	Faculty Council adopted Resolution and "Syllabus Guidelines" for implementation spring 2013	October 5, 2012
		Provost -- implementation	Communicated campus-wide syllabus policy to deans	November 1, 2012
	Registrar to communicate requirements in the procedures for course section scheduling and monitor compliance with scheduling information in the system.	Office of University Registrar (OUR)	OUR sends regular reminders about scheduling requirement to enter course instructor and meeting information. Schedulers have access to reports on these classes.	February 2013
	Academic units collect and maintain course syllabi for four years	Provost, Deans, Chairs	Deans implemented spring 2013; reported to Provost regarding syllabi retention arrangements.	February 15, 2013
		Provost, Institutional Research & Assessment	Compliance audit; deans provided Provost with actual syllabi in response to random sample of classes	February 25, 2013
	Implement a process for visiting classrooms at scheduled meetings times to confirm that classes are being held as scheduled for a sample of course sections each academic term.	Provost, Deans	Deans conducted spring 2013 classroom checks and reported findings to Provost	February 25, 2013
13. The Standard Course Numbering system does not identify the type of a course.	AFAM Department 2012-2013 Policies and Procedures Notebook – New Curriculum and Subject Code: Establishment of AAAD as the department's subject code, replacing AFAM and AFRI. (Language subject codes remain unchanged.) Single subject code signals to students that fields are intertwined. Renumbered courses to better identify subject themes.	College of Arts & Sciences Administrative Board, University Registrar	Subject code changes approved	January 2013
	AFAM Department Name Change to: Department of African, African American, and Diaspora Studies to reflect growth of department's faculty and academic areas included.	College of Arts & Sciences Administrative Board, University Registrar, Provost's Office	Department name change approved	January 2013
	Courses renumbered to better identify course type (e.g., lecture vs. independent study, thesis, independent research, etc.)	Provost, University Registrar, Deans	New Standard Course Numbering System revised, approved, and courses renumbered by academic units.	October 15, 2012

14. The Standard Course Numbering system does not identify the level of a course.	AFAM Department 2012-2013 Policies and Procedures Notebook – New Curriculum and Subject Code: Establishment of AAAD as the department's subject code, replacing AFAM and AFRI. (Language subject codes remain unchanged.) Single subject code signals to students that fields are intertwined. Renumbered courses to better identify subject themes.	College of Arts & Sciences Administrative Board, University Registrar	Subject code changes approved	January 2013
	AFAM Department Name Change to: Department of African, African American, and Diaspora Studies to reflect growth of department's faculty and academic areas included.	College of Arts & Sciences Administrative Board, University Registrar, Provost's Office	Department name change approved	January 2013
	Courses renumbered to better identify course type (e.g., lecture vs. independent study, thesis, independent research, etc.)	Provost, University Registrar, Deans	New Standard Course Numbering System revised, approved, and courses renumbered by academic units.	October 15, 2012
15. Students take more than the maximum IS hours allowed toward graduation and/or in an academic term.	AFAM Dept. Contract for Independent Study Courses Requirements and Procedures (Revised June 2012).	Provost, Deans, University Registrar, Faculty Council	AFAM Dept policies implemented; College of Arts and Sciences Independent Study Task Force Report recommendations implemented by College, reviewed by Educational Policy Committee for adoption by Faculty Council for entire campus. Courses can now be identified for degree audit due to renumbering.	May 2012 for College of Arts & Sciences, final Faculty Council review for adoption March 8, 2013

16. The course assignments and the grading standards are inconsistent across courses and/or sections of the same course.	AFAM Dept. Policies on Exams and Grading (2011) -- Syllabus should specify requirements/ assignments and grading policies.	AFAM Chair	AFAM implemented syllabus policy for all courses	Fall 2012
	Syllabus requirement for all credit-bearing courses, to include a list of all assignments and grade weights for each, and a clear assessment scale detailing points for each letter grade.	Faculty Governance -- approval of policy and guidelines.	Faculty Council adopted Resolution and "Syllabus Guidelines" for implementation spring 2013	October 5, 2012
		Provost -- implementation	Communicated campus-wide syllabus policy to deans	November 1, 2012
	Academic units collect and maintain course syllabi for four years	Provost, Deans, Chairs	Deans implemented spring 2013; reported to Provost regarding syllabi retention arrangements.	February 15, 2013
		Provost, Institutional Research & Assessment	Compliance audit; deans provided Provost with actual syllabi in response to random sample of classes	February 25, 2013
	Contextualized grading information will help address this by positioning each student's grade in a course section relative to the performance of other students in the course section.	University Registrar	Contextualized grading reports completed. Notations on individual student transcripts to be completed in 2013-14.	Spring 2013
	AFAM Department: new leadership; governance structure; policy governing independent study; standard practices on handling course syllabi, faculty absences, and grade forms are followed.	AFAM Dept Chair, Sr. Associate Dean for Social Sciences, College of Arts & Sciences	Implementation of independent study policy and monitoring of course syllabi, faculty absences, and grading handling	Fall 2012
17. Standard usage is not adopted for the many terms that are used – some appropriately and some not – for "independent studies."	Adopt standard usage for terms related to Independent Study Courses.	Provost, Deans, University Registrar	Provost adopted recommendations from College of Arts & Sciences' Independent Study Task Force Report concerning course terminology and applied to course numbering project.	Fall 2012
	Course renumbering to enable the generation of reports that distinguish independent study course sections from others University-wide.	Provost, Deans, University Registrar	Course renumbering project completed	October 15, 2012
	Monitoring graduation limits related to independent study course credit	University Registrar	Graduation limits related to independent study course credit are now being monitored as part of the degree audit process. Modification to independent study policies to permit exceptions to 12-hour limit for professional schools with practica/internship requirements approved by Educational Policy Committee and sent for adoption by Faculty Council on March 8, 2013.	Spring 2013

18. Late enrollment in a course by a student does not provide the necessary time needed for the student to meet the course standards.	New independent study policy requires a written individual learning contract.	Dean and Chairs, College of Arts & Sciences	Dean required chairs to develop contract templates; chairs implemented with independent study enrollments in spring 2013	Spring 2013
	Registration in any course, including Independent Study courses, is not allowed after a certain date as designated in the Undergraduate Bulletin and the registration calendar.	University Registrar and Deans	Existing policy in place	Prior to 2011-12
19. Summer school instructor contracts are not executed timely.	Summer School Instructor Contracts: Strengthened instructor contract letter requiring instructors to notify administrator or Summer School dean if they had to miss more than one class. No Summer School Instructor receives payment without a signed contract letter.	Summer School Dean and University Counsel	With the new contract language, several instructors for summer 2012 notified Summer School office that they would miss some instructional time. Summer School prepared separate contract letters for substitute teachers and reduced the faculty members' stipends accordingly.	Summer 2012