

**RESPONSE TO THE SOUTHERN
ASSOCIATION OF COLLEGES
AND SCHOOLS COMMISSION ON
COLLEGES (SACSCOC) LETTER OF
NOVEMBER 13, 2014**

Submitted January 12, 2015

Office of the Chancellor
*103 South Building
Campus Box 9100
Chapel Hill, NC 27599-9100*



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

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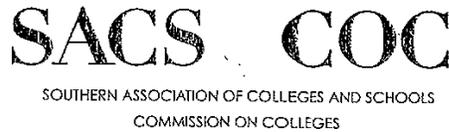


**THE UNIVERSITY
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November 13, 2014

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

Dear Dr. Folt:

The Southern Association of Colleges and Schools Commission on Colleges' policy, "Standing Rules: SACSCOC Board of Trustees, Executive Council, and the College Delegate Assembly," (available at www.sacscoc.org) stipulates that the Commission give appropriate consideration to significant accreditation-related unsolicited 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 to you today because the recently released report you sent to SACSCOC entitled, "Investigation of Irregular Classes in the Department of African and Afro-American Studies at the University of North Carolina at Chapel Hill" (Cadwalader Report) regarding academic irregularity and degree integrity issues, has raised questions about the University of North Carolina at Chapel Hill's ongoing compliance with the *Principles of Accreditation* (copy enclosed). Many of the assertions made by the investigative report were based on interviews with the two university employees responsible for instigating and perpetuating the "academic irregularities."

At the time of the Committee visit on April 2-4, 2013, the University appeared to confine the root of the problems to "the unethical actions by two people that required the University to go through this process...", a phrase used by the previous chancellor. The Committee was unable to interview the two primary coordinators due to legal actions pending against them; however, the Cadwalader Report makes it clear that there was a network of individuals within the academic and athletic community that knew of and referred students to the "paper classes." The administration's failure, prior to the review of the SACSCOC Special Committee, to examine the full impact of these "academic irregularities" beyond the professional activities of two people; evidence that some University faculty and staff were aware of the fraud and played a part in directing students toward the classes; and additional evidence in the report supporting the fact that students "received one or more semesters of deficient instruction and were awarded high grades that often had little relationship to the quality of their work" (page 3, Cadwalader) cause SACSCOC to raise questions about the University's compliance with the following standards:

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1. institutional integrity
2. program content
3. organizational structure
4. personnel appointment
5. control of intercollegiate athletics
6. admissions policies
7. academic policies
8. academic support services
9. faculty evaluation
10. academic freedom
11. faculty role in governance
12. student records
13. qualified staff
14. policy compliance
15. publication of policies
16. recruitment materials
17. title IV program responsibilities
18. credit hour

In light of these circumstances, and in accordance with the Commission's policy and procedures, 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*. In addition to addressing specific requests delineated by SACSCOC for each standard, the institution should also feel free to provide information it deems appropriate and customized to the issues of academic integrity.

Principle of Integrity: 1.1

This standard expects an institution to operate with integrity in all matters.

Since the time of the Commission's Special Committee review April 2-4, 2013, the institution has undergone a more extensive and thorough collection and review of documents, leading the Commission to conclude that UNC-Chapel Hill was not diligent in providing information to the Committee during its review. A number of findings in the investigative report support this conclusion. In addition, it appears that the institution may have had information that was not shared during the course of the Commission's Special Committee review. In at least two instances, people who were interviewed by the Special Committee appear to have had some prior concerns and/or knowledge of abnormal activity occurring in the Department of African and Afro-American Studies (AFAM) [AFAM now named African, African American, and Diaspora Studies] that was not revealed or discussed with the Special Committee. The investigative report clearly refutes the institution's claims that the academic fraud was relegated to the unethical actions of two people.

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Core Requirement

- **2.7.2 (Program Content)**
This standard expects an institution to offer degree programs that embody a coherent course of study that is compatible with its stated mission and is based upon fields of study appropriate to higher education. Further, coherence should be a critical component of an educational program and should demonstrate an appropriate sequencing of courses, not a mere bundling of credits, so that student learning is progressively more advanced in terms of assignments and scholarship required and demonstrates progressive advancement in a field of study that allows students to integrate knowledge and grow in critical skills.

The institution is requested to provide information regarding current degree program content in the Department of African, African American and Diaspora Studies, and any other educational programs with significant exposure that may have been caused by the nearly 20 years of proven academic irregularities.

Comprehensive Standards

- **3.2.7 (Organizational Structure)**
This standard expects an institution to have a clearly defined and published organizational structure that delineates responsibility for the administration of policies. Further, the organizational structure should provide the necessary foundation for internal and external understanding of the institution's operations.

The institution is requested to provide its organizational structure chart with clearly depicted reporting lines of authority. Provide discrete organizational structures for each department in the College of Arts & Sciences, and each unit within the Athletics Department, with clearly depicted reporting lines of authority.

- **3.2.9 (Personnel Appointment)**
This standard expects an institution to publish policies regarding the appointment, employment, and evaluation of all personnel.

The institution is requested to provide policies and evidence of implementation of those policies pertaining to the appointment, employment and evaluation of all personnel. Specifically, address the application of those policies to administrative staff at a parallel level to the administrative assistant in the former AMFAM department. Show how the policies are effective in evaluating the capability of individuals at that level, and how the institution ensures that an appropriate oversight and review occur.

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- **3.2.11 (Control of Intercollegiate Athletics)**

This standard expects an institution's chief executive officer to have ultimate responsibility for, and exercise appropriate administrative and fiscal control over the institution's intercollegiate athletic programs, including the academic standards for athletes.

The institution is requested to provide information demonstrating how the Chancellor of UNC at Chapel Hill has responsibility for and exercises appropriate administrative and fiscal control over the institution's intercollegiate athletic programs. The administrative control includes accountability for the application of academic standards for athletes.

- **3.4.3 (Admissions Policies)**

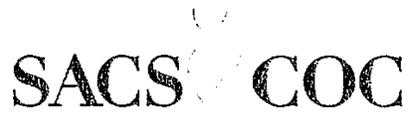
This standard expects an institution to publish admissions policies that are consistent with its mission. Further, admission policies are designed to ensure that students who are admitted to the institution or to a specific program can benefit from the institution's programs. Implicit in the policies is that the institution consistently applies the policies to all applicants, transfers; exceptions are limited in number and based on specific criteria for waiving admission requirements.

The institution is requested to provide its admissions policies with particular emphasis given to "special admits." Provide the composition and role of the 'Committee on Special Talents,' along with the reporting line for this committee. In addition, the institution should provide information on how many students who enrolled in the aberrant courses were admitted through this process. Specify the number of students that are currently enrolled through the "special admits" process. Disaggregate student athletes and non-student athletes and the programs/majors in which they are enrolled.

- **3.4.5 (Academic Policies)**

This standard expects an institution to develop and publish academic policies that adhere to principles of good educational practice. In addition, it is the obligation of the institution to disseminate these policies to students, faculty, and other interested parties through publications that accurately represent the programs and services of the institution.

The institution is requested to provide polices pertaining to independent study classes, grading, syllabi review, and external departmental program reviews. Show the effects of the Independent Study Task force Committee recommendations and subsequent adoption of procedures by the institution in terms of the impact on offering independent study courses and the number of courses students may count toward graduation. Address the approval process for (1) offering the independent study course and student enrollment in the course, (2) current grading practice, (3) current grading oversight, and (4) changes in the process since the SACSCOC Special Committee visit in April 2013.



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- **3.4.9 (Academic Support Services)**

This standard expects an institution to provide appropriate academic support services. Further, the services are designed to strengthen academic programs and ensure the success of students and faculty in meeting the goals of the educational programs.

The institution is requested to provide an overview of academic support services for all undergraduate education. Give particular attention to the Athletics Department and Academic Support Program for Student-Athletes (ASPSA), and the undergraduate academic advising program. Demonstrate the effectiveness and integrity of the student athlete support services process and provide evidence of institutional accountability. Provide an update on the strategic initiatives developed by ASPSA in 2013 and assess the effectiveness of these policies related to the hiring, training, and oversight of academic tutors for student-athletes. Report on the effectiveness of the move of the ASPSA from the College of Arts and Sciences to the office of the Executive Vice Chancellor and Provost.

- **3.7.2 (Faculty Evaluation)**

This standard expects an institution to regularly evaluate the effectiveness of each faculty member in accord with published criteria, regardless of contractual or tenured status. Since the members of the faculty direct the learning enterprise of an academic institution and are responsible for assuring the quality of the academic program, it is imperative that an effective system of faculty evaluation be in place.

The institution is requested to describe the policies, procedures and practice for all faculty evaluation activity. Provide samples of Chair evaluations from across the institution and also provide reliable samples from the African, African American, and Diaspora Studies program. Provide evidence that the system of faculty evaluation is effective for ensuring the quality of the academic program.

- **3.7.4 (Academic Freedom)**

This standard expects an institution to ensure adequate procedures for safeguarding and protecting academic freedom.

The institution is requested to define and provide current policies and practices related to academic freedom. Demonstrate how the application of the policy plays a role with regard to responsibility for academic integrity. Identify the elements in the institution's definition of academic freedom that excuses faculty from accountability for academic integrity and creates barriers for faculty and staff reporting academic irregularities.

- **3.7.5 (Faculty Role in Governance)**

This standard expects an institution to publish policies on the responsibility and authority of faculty in academic and governance matters.

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The institution is requested to provide its policies relating to faculty member's role in governance and how these policies delineate the responsibilities and authority of its faculty in academic matters. Within the framework of CS 3.7.5, what is the Faculty Athletics Committee's (FAC) authority in maintaining and protecting academic integrity? Detail the qualifications of those faculty members who are on the FAC and discuss the selection/appointment process. In addition, provide the name of the office with oversight responsibility for this Committee. Provide details on its authority in disseminating the "charge and/or goals" given to the FAC participants and how it determines the effectiveness of the Committee in meeting the "charge/goals" of the committee.

- **3.9.2 (Student Records)**

This standard expects an institution to protect the security, confidentiality, and integrity of student records and to maintain security measures to protect and back up data.

The institution is requested to provide information and policies on the retention of student records. Address the length of time specified in the policy for retention of academic records, and indicate any institutional or system policies that would create a barrier for the institution to have continuous access to the records in order to ensure their integrity. Provide an update on the effectiveness of newly-automated grade change process and the interactive student records dashboard that included enrollment data for independent study courses and grade distributions by course, and the process for monitoring the enrollment patterns of student athletes. Provide evidence of regular audits designed to verify the validity and integrity of student records in the future.

- **3.9.3 (Qualified Staff)**

This standard expects an institution to provide a sufficient number of qualified staff—with appropriate education or experience in the student affairs area—to accomplish the mission of the institution.

The institution is requested to provide the educational background, experience, professional development and internal/external training of its student services staff. Additionally, identify training in academic policy provided to academic advisors/counselors involved in undergraduate advising and disaggregate distinguishing units (e.g. undeclared majors, ASPSA).

- **3.13.1 (Policy Compliance)**

This standard expects an institution to comply with the policies of the Commission on Colleges.

The institution is requested to demonstrate its compliance with the following two Commission policies: (1) "Credit Hour" and (2) "Advertising, Student Recruitment, and Representation of Accredited Status."

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"Credit Hour." Specifically, address institutional practice as it relates to the policy. (Cross reference to FR 4.9).

"Advertising, Student Recruitment, and Representation of Accredited Status." Specifically address the issue in the SACSCOC policy regarding accurate depiction of publications and misrepresenting abilities required to complete an intended program. (Cross reference to FR 4.6).

Federal Requirements

- **4.3 (Publication of Policies)**

This standard expects an institution to make available to student and the public current academic calendars, grading policies, and refund policies.

The institution is requested to provide information regarding its policy for grading. Address safeguards for consistent application across the University, indicate the office(s) that ensure consistency, and how the office carries out its responsibility for consistent application.

- **4.6 (Recruitment Materials)**

This standard expects an institution to maintain recruitment materials and presentations that accurately represent the institution's practices and policies.

The institution is requested to provide all formal and informal, current and past materials that are used by the Athletic Department to recruit student athletes. The information should include, although not be limited to information regarding graduation and future employment, academic and student support services available while enrolled, academic program advising and assistance, and any proposed or sample curriculum.

- **4.7 (Title IV Program Responsibilities)**

This standard expects an institution to be in compliance with its program responsibilities under Title IV of the most recent Higher Education Act as amended.

The institution is requested to provide information regarding its Title IV responsibilities, its policy on Satisfactory Academic Progress, and evidence of how it ensures that valid coursework is being used to assess federal Satisfactory Academic Progress standards. In addition, submit to the Commission any communication from the U.S. Department of Education related to continued compliance with Title IV provisions.

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- **4.9 (Credit Hour)**

This standard expects an institution to have 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. Because credits are used as a measure of student engagement and as a basis for awarding financial aid, an institution is obligated to ensure that credit hours awarded for courses and programs conform to commonly accepted practices in higher education.

The institution is requested to provide its policies and procedures for determining the credit hours awarded for courses and programs. How does the institution ensure adherence to its policy?

Please submit to my office **three** copies of the institution's response to this letter by no later than **January 7, 2015**. The institution's report to SACSCOC should also include copies of all responses to other external investigative reports.

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 to the SACSCOC Board of Trustees for formal review. Or, it is possible that the President of the 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,



Cheryl D. Cardell, Ph.D
Vice President

CDC/BSW:ch

Enclosures

cc: ✓ Dr. Belle S. Wheelan
Ms. Carol Luthman

Williford, Lynn E

From: Cheryl Cardell <ccardell@sacscoc.org>
Sent: Wednesday, December 17, 2014 11:21 AM
To: Folt, Carol Lynn
Cc: Williford, Lynn E
Subject: Extension

Dear Carol:

Per your request, an extension to the due date is granted. You indicated that you could have the report to me on January 12 and that is an acceptable timeframe.

Best regards,

Cheryl D. Cardell, Ph.D

Vice President

Southern Association of Colleges and Schools

Commission on Colleges

Office: 404.679.4501 ext. 4529

Fax: 404.679.4558

Overview

The University of North Carolina at Chapel Hill respectfully submits this report to the Southern Association of Colleges and Schools Commission on Colleges (SACSCOC) in response to its letter of November 13, 2014 requesting information relating to University of North Carolina at Chapel Hill's compliance with various *Principles of Accreditation*.

Institutional Profile of UNC-Chapel Hill

Founded in 1789, the University of North Carolina at Chapel Hill has earned a reputation as one of the nation's premier institutions of higher education. The University offers 78 bachelor, 112 master, 68 doctorate, and a number of professional degree programs through 12 highly ranked and accredited schools and the College of Arts and Sciences. More than 29,000 undergraduate, graduate and professional students learn from approximately 3,700 faculty members. Carolina regularly ranks as the "[Best Value](#)" in U.S. public higher education, according to Kiplinger's Personal Finance, and was recently recognized by The New York Times as one of the nation's top three "[Most Economically Diverse Colleges](#)." Our 81.1% undergraduate student body four-year graduation rate (2007 cohort) exceeds the average rate of our public peers by approximately 16%.

UNC-Chapel Hill also ranks among the world's leading research universities. A member of the prominent Association of American Universities, Carolina received [\\$792.7 million in total research funding](#) for fiscal 2014, with over \$428 million awarded to researchers by the National Institutes of Health alone in the same year. Carolina's faculty, staff, and students shape their teaching, research, and public service to meet North Carolina's most pressing needs in all 100 counties, and our 301,755 alumni live and contribute to their communities across North Carolina and in all 50 states and more than 150 countries.

The University's long history and record of accomplishment engenders great pride throughout the entire Carolina community, past and present. With this pride, however, comes a special obligation for the University to ensure integrity and transparency and to promote excellence in all Carolina does. The University has always taken this obligation seriously but has never felt it more acutely than today. Given the challenges of recent years, we understand that our commitment to being diligent and forthright is more important than ever.

History, Context and Scope of this Report

History of Reporting

This report is the second major submission to SACSCOC on past academic improprieties within the former Department of African and Afro-American Studies (AFAM Department). The University fully supports the Commission's decision to request new information following the release of the [Wainstein Report](#) (referred to as the "Cadwalader Report" in the November 14, 2014 SACSCOC letter to the University). By bringing together new information -- arising from extensive interviews with the two

principal parties made possible by direct intervention from the Orange County District Attorney, far-reaching new document reviews, including new materials collected as part of the criminal investigation -- the Wainstein Report made it clear that the University's failings, as both the University and Commission correctly observe, affected more students and lasted longer than previously known.

Carolina accepts full responsibility for the wrongdoing, has apologized repeatedly and forthrightly to the impacted students and alumni, and will continue to monitor previous reforms and institute additional measures, wherever needed, to ensure and enhance academic integrity. We appreciate the Commission's choice to ask questions about the completeness of certain communications with the Special Committee during its April 2013 visit. It is understandable to look back at that visit through the lens of the new findings and expansive information in the Wainstein Report. Since receiving the report, Carolina, too, has asked itself many questions about the past, including the knowledge and participation of certain individuals in the wrongdoing. The Commission has the University's commitment to inform its leadership immediately if the University ever learns that information was misrepresented to or withheld from the Special Committee. Carolina deeply values its relationship with SACSCOC, and respects the Commission's work with Carolina during the difficult times that have defined recent years. The University leadership has emphatically instructed everyone involved in the preparation of this report, just as it instructed everyone interviewed by Wainstein, to be completely diligent and forthcoming about all aspects of this inquiry and all prior inquiries from SACSCOC. Our fundamental commitment is that SACSCOC will have all the information it needs to assess the University's compliance with the *Principles of Accreditation* and federal requirements.

The two major submissions to SACSCOC, summarized here, are expanded upon in the response to the Commission's questions on Principle of Integrity 1.1 (Institutional Integrity).

- ***The University's first major report***, dated March 8, 2013, and subsequent monitoring report, dated April 14, 2014, grew out of extensive investigations the University initiated in 2011 into academic irregularities in the AFAM Department. Since their discovery, the University has taken great care to keep the Commission informed of all findings and the timing, progress, and success of the extensive remedial measures implemented to ensure similar problems could not recur in the future.
- ***This, the University's second major report***, dated January 12, 2015, has grown out of the independent Wainstein investigation commissioned by Carolina to investigate these academic irregularities further. The University commissioned this new investigation immediately upon being informed by the Orange County District Attorney in early 2014 that *for the first time since the irregularities were discovered*: (1) a principal at the center of the wrongdoing (Deborah Crowder) was going to be made available for questioning along with a good prospect the other principal (Julius Nyang'oro) also would become available; and (2) the University would be given access to materials gathered in the criminal investigation.

Carolina's inability to ever before interview Deborah Crowder and Julius Nyang'oro for years had placed the University in a difficult position. While diligent, careful, and yielding very important findings, all prior reviews were severely limited by not being able to question the two people known

to have had central roles in the improprieties. The University previously had done everything within its power to secure their cooperation, but was unsuccessful. When District Attorney James Woodall made it a condition of the outcome of the criminal investigation that Crowder would cooperate with the University's independent investigation, with a prospect that Nyang'oro in time would do the same, it provided the University the much-needed opportunity to answer lingering questions about the full scope and extent of the wrongdoing from the only individuals capable of providing the information.

Clarifying the Two Submissions and Multiple Investigations

The public nature of the investigation and the timing of its release in 2014 have created a great deal of confusion about issues such as, when these improprieties actually took place, the part(s) of the University and people involved, when it was first discovered, why there were multiple investigations, what has already been put in place to rectify the problems, and what was newly discovered by the independent investigator. It also is clear from reports in the media that many people are not aware of Carolina's extensive self-reporting, self-initiated investigations and reforms, and prior communications with SACSCOC beginning in 2012.

The [Wainstein investigation](#) provided significant new information, much, but not all of it coming from interviews the independent investigator conducted with Crowder and Nyang'oro, and an extensive review of more than a million electronic documents, often selected in direct response to information gleaned in their interviews.

The new findings did not diminish in any way the import and significance of the findings in the prior reports. Quite the opposite, the Wainstein investigation findings, among other things, not only confirmed the wrongdoings that already were shown to have taken place but also clarified their origin; it showed that they had taken place longer and affected considerably more students than known before; and it identified other people who were potentially involved in or knew of them. The Wainstein investigation also clarified the relationship between academic advisors and counselors, including but not limited to some academic counselors of student-athletes, who were alleged to have recommended that their students take these courses, and it implicated at least one other faculty member who may have knowingly contributed to the improprieties.

While Carolina continues to take these issues very seriously and without offering excuses, it is also critical to make it clear that the Wainstein investigation, like prior investigations, found no evidence of any academic improprieties occurring since the summer of 2011, and no evidence that these academic improprieties extended beyond courses in one department in the College of Arts and Sciences.

Relation Between the Two Submissions

To answer questions posed in SACSCOC's most recent letter of November 13, 2014, the University has needed to reiterate much of the information we provided in our first submission about the reforms Carolina instituted beginning in 2012. We also have provided new information where needed to answer new questions. We have evaluated the efficacy of our reforms, especially since many have been in

place for several years. Further, we identify the instances where additional information either from the Wainstein investigation or our own ongoing efforts has led us to revise or implement new reforms.

Context and Scope

The University's intent in all these communications is to reflect our wholehearted commitment to being diligent and forthright and to complying fully with the Commission's accreditation standards. As a founding member of SACSCOC, the University is committed to growing and strengthening its close relationship with the Commission.

In the following sections we expand on the history, context, and scope of this report.

A. Carolina's Discovery of Academic Improprieties, Self-Reporting, and Full Cooperation with SACSCOC

Initial Discovery of Improprieties

Concerns about academic improprieties in the University's AFAM Department arose in 2011 out of an inquiry by the National Collegiate Athletic Association (NCAA). The University immediately convened an internal working group to review student records and interview faculty, staff, students, and counselors within the AFAM Department. The working group's findings raised serious concerns about the integrity of some of the AFAM Department's course offerings and oversight of instruction.

In response, the Dean of the College of Arts and Sciences called for a comprehensive review of all AFAM courses offered between 2007 and 2011. Senior Associate Deans Jonathan Hartlyn and William Andrews led this review and released their findings on May 2, 2012. The [Hartlyn-Andrews Report](#) identified a number of irregularities within the AFAM department, including classes offered without faculty supervision, grade rolls submitted to the registrar with forged faculty signatures, unauthorized grade changes for independent study courses, and insufficient departmental oversight. The University informed SACSCOC of this review on May 2, 2012 and provided the Commission with the Hartlyn-Andrews Report that same day.

The findings of the Hartlyn-Andrews Report sounded calls for a broader inquiry to discern whether the academic irregularities extended beyond a single department. The University asked former North Carolina Governor James Martin and retained the consulting firm Baker Tilly, respectively, to perform these reviews. After conducting scores of interviews and reviewing many years of course data, [Governor Martin reported on his findings](#) in December 2012.

The Martin Report concluded that the academic improprieties were confined to the AFAM Department and, more specifically, to just two people, Julius Nyang'oro, Chair of the AFAM Department from 1992 until his retirement from the University in summer 2012, and Deborah Crowder, AFAM Student Services Manager for nearly 30 years until her retirement in September 2009. The University immediately reported Governor Martin's findings to SACSCOC.

Reforms Beginning in 2012

The findings in the Hartlyn-Andrews Report and Governor Martin's Report prompted the University's proactive development and implementation of a broad range of remedial measures across six critical dimensions. The actions and initiatives are described on the [Carolina Commitment](#) website.

- **Academic Excellence and Accountability:** changes in reporting relationships, policies and processes to improve accountability and standards for teaching workloads, expectations for faculty, and department chair reviews. Eleven reforms have been implemented since spring 2012.
- **Course Integrity:** processes, systems and reporting to ensure compliance and auditing of course delivery, numbering of courses, assessment standards, grade changes and clustering. Sixteen reforms have been implemented since spring 2012.
- **Athletics Integrity:** standards for Athletics oversight, reforms to Faculty Athletics Committee, increased staffing for institutional compliance, risk identification and management, and "up and out" reporting. Twenty reforms have been implemented since spring 2012.
- **Athletics Excellence and Accountability:** measures to enhance student-athlete experience and strengthen collaboration through faculty governance structure. Five reforms have been implemented since spring 2012.
- **Advising and Supporting:** improvements to maximize students' academic opportunities and future success and better monitor student athletes' academic progress. Fourteen reforms have been implemented since spring 2012.
- **Admissions and Preparedness:** enhancements and transparency of special-talent admissions process, improved assessment and focus on preparedness for UNC academics. Eight reforms have been implemented since spring 2012.

Communications with SACSCOC from 2012-June 2014

Carolina values its long-standing relationship with SACSCOC and has worked very hard amid the acute challenges of recent years to keep the Commission informed of the academic improprieties and measures the University has put in place to prevent their recurrence. Interactions between the University and SACSCOC have been regular, detailed, and focused on answering all questions and demonstrating full compliance with the Commission's *Principles of Accreditation*, including foremost the standards of academic integrity. The University reported to SACSCOC on many issues including all remedial measures over the course of many written communications in 2012-2013 as the University's understanding of the facts and full extent of the improprieties grew. This culminated in the submission of Carolina's March 2013 Report to the Commission. The University publicly posted its [letters to SACSCOC](#) and its [March 2013 Report](#) on its websites.

In April 2013, a Special Committee of the Commission came to Carolina's campus to examine in more detail Carolina's compliance with specific standards governing academic integrity. The University

collaborated fully with the chair of the committee to create the agenda and arrange interviews with members of the campus community. Following its visit, the [Special Committee issued a report](#) with no further questions regarding four particular compliance standards and requested further information to demonstrate the integrity of degrees being pursued by then currently enrolled students who had taken specific AFAM classes. Carolina provided the information in advance of a June 2013 meeting of the SACSCOC Board of Trustees.

The Commission's Board subsequently requested a [Second Monitoring Report](#), submitted in April 2014, which provided more information on the University's implementation of additional course requirements for particular students impacted by the academic improprieties.

In July 2014, [SACSCOC informed the University that the Commission's Board of Trustees](#) had determined that Carolina had satisfied the Commission's prior information requests.

B. Carolina's New Leadership Team, the Ongoing Implementation of Remedial Measures, and the Commissioning of the Independent Wainstein Investigation

Leadership Transitions at Carolina Since Discovery of These Infractions

A new leadership team began to arrive in Chapel Hill in the summer of 2013. Dr. Carol Folt began her position on July 1, 2013 and was installed as the University's 11th Chancellor in October 2013. Over the next months, Folt hired a new Executive Vice Chancellor and Provost, Vice Chancellor of Development, Vice Chancellor of Communications and Public Affairs, Vice Chancellor for Workforce Strategy, Equity, and Engagement, Vice Chancellor and Chief Financial Officer, and Chief of Staff. Searches for a new University General Counsel and a new Dean of Arts and Sciences will be completed this academic year. A number of other leadership positions have been filled by new personnel in recent years, including the Director of Athletics (November 2011), the Faculty Athletics Representative (July 2010), and several Associate Deans in the College of Arts and Sciences assigned administrative posts during the past few years.

From the start, Chancellor Folt and the new leadership team sought to become fully informed about Carolina's past academic improprieties as well as the numerous reviews and findings. They embraced Carolina's obligation to SACSCOC and the entire community to evaluate the effectiveness of the University's wide-ranging academic reforms. Within her first month, Chancellor Folt established a working group led by the new Executive Vice Chancellor and Provost, James Dean, and the Director of Athletics, Bubba Cunningham, to evaluate the efficacy of all processes related to the recruitment, progress, graduation, and academic success of student athletes. The [Student-Athlete Academic Initiative Working Group](#), for more than a year, has been rigorously evaluating the academic experiences of student-athletes, the services available to those students, and the processes in place at the University to monitor and support their progress. This measure, among others, is explained at length in the body of this Report.

Addressing these issues head-on, openly, assiduously pursuing reforms, and advancing the mission of the University with integrity are embraced by the entire team as central to their own integrity, purpose, and responsibility as leaders at Carolina.

Actions Taken Based on New Information

Carolina's new leaders wanted to make certain that prior inquiries into academic irregularities had uncovered the full duration and scope of the improprieties. A major positive development occurred in late 2013. It was then that District Attorney James Woodall approached the University and stated he was in a position not only to provide Carolina with an array of previously confidential documents gathered over the course of his criminal investigation with legal capabilities not afforded the University, but also make Crowder, and later Nyang'oro, available for interviews. This development was monumental, as it provided Carolina an opportunity to answer lingering questions about the full scope and extent of the wrongdoing from the only individuals positioned to provide that information.

Chancellor Folt and UNC System President Thomas Ross commissioned an independent investigator to conduct these sensitive and critical interviews. The University retained former federal prosecutor Kenneth Wainstein of Cadwalader, Wickersham & Taft LLP to conduct an independent investigation and pledged complete cooperation and full access to Carolina employees and documents. They directed Wainstein to ask tough questions and answer any questions left unanswered by prior reviews. The University placed no limits on the scope or timeframe for the investigation and instructed Wainstein to utilize any necessary resources. As part of the agreement and to guarantee independence, it also was decided that the University would not be informed of the findings until the investigation was complete. Executive Vice Chancellor and Provost Dean informed SACSCOC of the University's critical decision to conduct a new, independent investigation at its outset on February 21, 2014, and said that the review was very likely to unearth new facts about past wrongdoings.

While the independent investigation was taking place, the University kept SACSCOC apprised of its status. As required, Carolina also submitted its [Second Monitoring Report](#) to the Commission in April 2014. More than 70 remedial measures following the Hartlyn-Andrews and Governor Martin reviews had been implemented (beginning in 2012) and were being carefully monitored by Chancellor Folt and other members of the University's new leadership team. The report, dated April 14, 2014, detailed Carolina's requirements for currently enrolled students impacted by the improperly taught courses.

In June 2014, SACSCOC informed the University that Carolina had satisfied all of the Commission's prior information requests. Before receiving the letter from SACSCOC, Chancellor Folt reminded the Commission of the ongoing Wainstein investigation and the possibility that new adverse findings could emerge at a future date. She was informed that SACSCOC intended to issue the letter closing the review, and that a new request for information would be sent if new findings warranted it.

Independent Investigation Findings

On October 22, 2014, Wainstein announced the results of his independent investigation at a news conference and publicly issued his report, [Investigation of Irregular Classes in the Department of African and Afro-American Studies at the University of North Carolina at Chapel Hill](#). The report confirmed prior findings that the instructional irregularities were limited to a single department; however, it also provided evidence that the improprieties had taken place for a longer time (1993 to 2011), affected more students (approximately 3,100), and that some other campus staff and faculty were probably aware of

the irregularities.

The University briefed SACSCOC on the findings before the release of the independent investigation report by Wainstein. While discussed in more detail below, five key differences between the Wainstein team's investigation and prior reviews are summarized here because of their importance to our confidence in our current understanding of the extent and duration of the improprieties. The independent investigators:

- Received access to the two key witnesses, Deborah Crowder and Julius Nyang'oro, who shared substantial new information. Wainstein also spoke to anyone who was willing and able to share pertinent information.
- Received additional support of the District Attorney and the State Bureau of Investigation, including access to SBI investigators and their files. This new information carried with it the strength of the office and legal capacities available to the District Attorney that are not available to Universities. Again, until this point, the University had never had access to these individuals or materials.
- Searched millions of electronic records including student transcripts and course records going back to the 1980s. In addition, tens of thousands of records were individually reviewed by Wainstein team members.
- Used the information gleaned from this document analysis, the interviews with Crowder and Nyang'oro, and access to SBI files to inform each interview. This enabled them to ask individually tailored questions based on information not previously available.
- Retained independent faculty members at other universities to evaluate whether original work was done on the student papers obtained through the document review.

For all these reasons, we are confident that not only was the investigation thorough and complete but that it covered a great deal of ground not possible previously. Especially important, we also are confident that the remedial measures and processes Carolina has implemented since 2011 are the correct ones to ensure such a situation cannot be repeated.

Summary

There is no diminishing the scope and gravity of the academic failings described in the Wainstein Report. As Chancellor Folt stated at a [public news conference on October 22, 2014](#) regarding the additional findings of the report:

“I am deeply disappointed in the duration and the extent of the wrongdoing, as well as the lack of oversight, specifically vital missing checks and balances that if in place could have captured and corrected this much sooner. That would have saved so much anguish and embarrassment and more importantly, it would have protected our students and the countless members of the community who played absolutely no role in any of this.”

The Wainstein investigation also confirmed that the irregularities stopped in 2011. They are not ongoing, and the University is in a very different position than it was when it first began working with SACSCOC in 2012. In the three years since the University first began its dialogue with SACSCOC on the irregularities, Carolina has implemented an extremely broad and far-reaching set of reforms. It has done much to evaluate their success and make changes, and to foster a rigorous campus administrative culture that promotes increased vigilance, transparency and review. The University has reduced lingering doubts about the nature and scope of the irregularities, and as much as we know now what occurred, we also know what did not occur.

The University will continue to pursue reforms and actions that protect its integrity and ensure accountability for administration of its policies. As Chancellor Folt stated at a news conference on October 22, 2014:

“And today, we are taking even further action, starting with our leadership. We know people deserve our very best. It cannot be acceptable to say I didn’t know or that wasn’t my responsibility. Academic freedom does not mean freedom from accountability. Instead, I believe very strongly that we have to hold each other accountable and that’s not because we don’t trust each other. But by doing so, we can reward excellence and we can learn from feedback and most importantly we do this because integrity of the university is owned by all of us.”

At all times, the University also has sought to keep SACSCOC informed of the scope, nature, and extent of the academic irregularities. SACSCOC has played a critical role by asking questions and charging the University with demonstrating academic integrity. SACSCOC also has insisted on the University demonstrating that the remedial measures instituted in recent years, and approved by the Commission, will prevent the irregularities from ever recurring in Chapel Hill.

The University’s senior administration fully understands the weight and seriousness of the present challenges and is committed to the highest level of institutional integrity. Extraordinary resources have been and will continue to be dedicated to rectifying past wrongdoing and instituting comprehensive remedial measures to ensure compliance with the Commission’s *Principles of Accreditation*. This Report details those many measures.

Carolina has a long history of doing what is right, and the road traveled to address recent challenges will remain no different. Drawing upon its rich history of accomplishment and guided by its founding principles—light and liberty—the University looks to tomorrow with great promise, accepting full responsibility for and learning from the lessons of yesterday, and unrelenting in our commitment to integrity and excellence through teaching, research, and public service.

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OVERVIEW

[Wainstein Report - Investigation of Irregular Classes in the Department of African and Afro-American Studies at the University of North Carolina at Chapel Hill, October 2014](#)

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

[Governor Martin Report, Academic Anomalies Review Report of Findings, December 2012](#)

[Carolina Commitment Website](#)

[Letters to SACSCOC, November 2012](#)

[March 2013 Response to SACSCOC January 2013 Request](#)

[SACSCOC Report from Special Committee Issued, May 2013](#)

[April 2014 Second Monitoring Report to SACSCOC July 2013 Request](#)

[SACSCOC Board of Trustees Response to Second Monitoring Report](#)

[Update from UNC about Student-Athlete Academic Initiative Working Group](#)

[Wainstein Report - Investigation of Irregular Classes in the Department of African and Afro-American Studies at the University of North Carolina at Chapel Hill](#)

[Public News Conference on October 22, 2014](#)

PRINCIPLE OF INTEGRITY

1.1 Institutional Integrity

Principle of Integrity 1.1 Institutional Integrity

SACSCOC Request for Information Related to this Principle

The institution operates with integrity in all matters.

In the November 13, 2014 letter from SACSCOC, the University of North Carolina at Chapel Hill was asked to explain and document the extent of its compliance with the “Principle of Integrity 1.1” standard by addressing the following requests for information:

Since the time of the Commission’s Special Committee review April 2-4, 2013, the institution has undergone a more extensive and thorough collection and review of documents, leading the Commission to conclude that UNC-Chapel Hill was not diligent in providing information to the Committee during its review. A number of findings in the investigative report support this conclusion. In addition, it appears that the institution may have had information that was not shared during the course of the Commission’s Special Committee review. In at least two instances, people who were interviewed by the Special Committee appear to have had some prior concerns and/or knowledge of abnormal activity occurring in the Department of African and Afro-American Studies (AFAM) [AFAM now named African, African American, and Diaspora Studies] that was not revealed or discussed with the Special Committee. The investigative report clearly refutes the institution’s claims that the academic fraud was relegated to the unethical actions of two people.

Summary

The University of North Carolina at Chapel Hill places great value and importance on its relationship with SACSCOC. As a founding member, our strong relationship is the product of mutual respect, sound teamwork, and regular and open communications over many years. We are fully committed to working diligently with the Commission, responding forthrightly to questions and requests for information, and, more generally, strengthening our relationship with SACSCOC.

We appreciate the observations and questions asked by SACSCOC arising out of the findings of the independent investigation conducted by Kenneth Wainstein of Cadwalader, Taft & Wickersham LLP. We also understand why the Wainstein report findings about the scope and duration of the academic failings raise questions about the University’s prior efforts over the course of multiple reviews to get to the bottom of the problems. In this section, we explain the important development that prompted the University to commission the independent investigation, canvas our communications with the Commission in recent years and demonstrate that we are committed to complete transparency and candor in our interactions with SACSCOC.

The key points made in this section are these:

- The University is a founding member of SACSCOC, has profound respect for the Commission’s work and standards, and an unyielding commitment to complete academic integrity.
- Carolina greatly values its long-standing relationship with SACSCOC and has worked very hard

amid the acute challenges of recent years to keep the Commission informed of the academic improprieties and the expansive measures the University has put in place to prevent their recurrence. The communications between the University and SACSCOC have been regular and extensive as the University's understanding of the facts and full extent of the irregularities evolved. This is precisely why the University proactively reached out to SACSCOC in early 2014, upon learning of Julius Nyang'oro and Deborah Crowder becoming available for interviews, to inform the Commission of the important decision to launch a new independent investigation—one fully expected to unearth new facts about past wrongdoing.

- The University understands and respects the Commission's choice in its most recent letter, dated November 13, 2014, to underscore the gravity and scope of the findings uncovered by the independent investigation. As the University and the Commission both correctly observe, these failings were more extensive and long-standing than previously known, despite the many internal and external reviews in recent years to examine the improprieties. Carolina has accepted full responsibility for the wrongdoing, repeatedly and forthrightly apologized to the impacted students and alumni, and will continue to monitor previous reforms and institute additional measures, wherever needed, to ensure and enhance academic integrity.
- The University has been and remains deeply committed to its close relationship with SACSCOC, has strived to keep the Commission informed along the difficult road traveled by Carolina in recent years, including during and leading to the Special Committee's visit in 2013, and will immediately notify the Commission if this understanding ever became otherwise.
- A path of continuous improvement, an abiding commitment to complete integrity, and unyielding resolve to reach new standards of excellence define Carolina's path forward.

Actions

Facts Leading the University to Commission an Independent Investigation

The essential beginning point is to understand the significance of the development that prompted the University's current leaders to take the affirmative step — on the heels of many prior internal and external reviews — to commission the new independent investigation. Prior reviews, while diligent, careful, and yielding important findings, were limited by a very material fact — the unavailability of Julius Nyang'oro for over two years and Deborah Crowder for all points in time, the two individuals at the very center of the academic improprieties since their inception in 1993. The University previously had done everything within its power to secure their cooperation, but was unsuccessful. Since at least June 2012, both individuals had been under criminal investigation in North Carolina. This changed in late 2013. It was then that District Attorney James Woodall approached the University and stated he was in a position not only to provide Carolina with an array of previously confidential documents gathered over the course of his criminal investigation with legal capabilities not afforded the University, but also to make Crowder, and later Nyang'oro, available for interviews. This development was monumental, as it provided Carolina an opportunity to answer lingering questions about the full

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Institutional Integrity

scope and extent of the wrongdoing from the only individuals positioned to provide that information.

The University immediately seized the opportunity by commissioning the independent investigation. President Thomas Ross and Chancellor Carol Folt determined that this step was essential to getting to the bottom of the origin, scope, and duration of academic wrongdoing. The independence of the investigation was essential, for it allowed the University to step completely aside, enlist the assistance of an accomplished former federal prosecutor, and let the facts and evidence chart the course to understanding how the wrongdoing started, how it was perpetrated, how many students it impacted, and all who participated in it or knew about it. Among other things, as part of the agreement to guarantee independence, it was agreed that the University would not be informed of the findings until the investigation was complete. Carolina's new leadership fully expected that the Wainstein investigation would yield a range of new, adverse, and painful findings and usher in an equally wide range of new and difficult challenges. The only way to move forward, Carolina understood, was first to see the full face of the past.

Another dimension of the timing of the University's decision to commission an independent investigation warrants emphasis. Carolina made that decision after having already devised and implemented at least 70 distinct actions and initiatives to enhance its academic integrity. Put differently, the University, in the wake of the many prior internal and external reviews into the past wrongdoing, did not stand back and wait for a day when Julius Nyang'oro and Deborah Crowder might become available and provide new understandings of Carolina's past problems. To the contrary, the University began acting as soon as the improprieties were suspected to put in place systems, controls, and processes to prevent their recurrence. At the time the independent investigation had commenced, then, the University and its new leadership team, while fully expecting more bad news about the past to emerge, had great confidence in the current strength and soundness of Carolina.

The University took care to keep SACSCOC informed of the critical development of Nyang'oro and Crowder becoming available and Carolina's response to that development. On February 21, 2014, Carolina's new Executive Vice Chancellor and Provost, James Dean, contacted the Commission to explain the University's decision to commission the independent investigation and the likelihood that it would reveal new facts and understandings about the history, scope, and duration of the academic improprieties. Carolina also committed to keeping SACSCOC informed as the Wainstein investigation progressed. The University made good on this commitment with periodic telephone calls to the Commission over the first nine months of 2014—all in keeping with Carolina's long-standing and important relationship with SACSCOC.

Wainstein's Central Findings and the University's Response and Communications with SACSCOC

When Wainstein concluded his independent investigation and relayed his report and findings to the University on October 16—six days before its public release—the University promptly reached out to SACSCOC to schedule a briefing. There was no doubting the gravity and magnitude of the findings about the past academic improprieties, and Carolina's leaders wanted to be sure the new information was in the Commission's hands as soon as possible. The University also took the important

step of scheduling a public news conference, inviting Wainstein to describe the key findings, and making his report immediately available on the Carolina website. With these open and transparent communications also came a clear recognition that Wainstein's findings would prompt many follow-up questions, including the ones the Commission asked of Carolina in its letter of November 13, 2014.

The University is in complete agreement with the Commission's observations that the Wainstein investigation uncovered important and new information about the scope and extent of the irregularities in Carolina's AFAM Department—the product, as Carolina expected, of the important and breakthrough access Wainstein had to Julius Nyang'oro and Deborah Crowder and thousands of documents gathered in the District Attorney's criminal investigation. The Wainstein report explains this information at length and in significant detail and demonstrates, as SACSCOC correctly observes, that the academic fraud was long-standing and not limited to the misconduct of just Nyang'oro and Crowder. Indeed, the latter point is precisely what led the University, as Chancellor Folt announced at the news conference accompanying the release of the Wainstein report on October 22, 2014, to terminate or commence disciplinary reviews of a number of employees—all in furtherance of Carolina's commitment to holding individuals appropriately accountable for the past academic failings. [On December 31, 2014](#), and as explained further below, the University publicly released information about those terminations and ongoing disciplinary reviews.

Where the University has a different perspective is in reaction to the Commission's observation that the Wainstein report suggests that Carolina may not have been diligent in providing information to SACSCOC, including in connection with the Special Committee's visit to Chapel Hill in April 2013. The University took the Special Committee's visit very seriously, collaborated fully with the SACSCOC staff to prepare the meeting agendas, and believes Carolina provided the Committee with the information it sought during and following the visit.

We appreciate the Commission's choice to ask questions about the completeness of certain communications with the Special Committee during its April 2013 visit. It is understandable to look back at that visit through the lens of the new findings and expansive information in the Wainstein report. Since receiving the report, Carolina, too, has asked itself many questions about the past, including the knowledge and participation of certain individuals in the wrongdoing. The Commission has the University's commitment to inform its leadership immediately if the University ever learns that information was misrepresented to or withheld from the Special Committee. Carolina deeply values its relationship with SACSCOC, and respects the Commission's work with Carolina during the difficult times that have defined recent years. The University leadership has emphatically instructed everyone involved in the preparation of this report, just as it instructed everyone interviewed by Wainstein, to be completely diligent and forthcoming about all aspects of this inquiry and all prior inquiries from SACSCOC. Our fundamental commitment is that SACSCOC will have all the information it needs to assess the University's compliance with the *Principles of Accreditation* and Federal requirements.

The University's Past and Ongoing Communications with SACSCOC

The concerns SACSCOC has expressed about the University's past diligence and openness of communications with the Commission on the nature, scope, and duration of the academic irregularities warrant a broader response.

With the unsettling discovery of academic irregularities in recent years has come regular and detailed communications between Carolina and the Commission. The University has worked hard over that period to keep SACSCOC timely informed not only of the wrongdoing itself, but also, and importantly, of the immediate and extensive measures Carolina has implemented to prevent a recurrence of the problems in Chapel Hill. The communications have been many in number, tailored to the Commission's needs and requests, and marked by regular follow up:

- On May 4, 2012, the University contacted SACSCOC to inform the Commission of the results of the internal review of all AFAM courses offered between 2007 and 2011. Carolina's Assistant Provost and accreditation liaison to the Commission explained the nature and purpose of the review, its key findings, and then followed-up by transmitting a copy of the report issued the same day by Senior Associate Deans Jonathan Hartlyn and William Andrews.
- On July 2, 2012, following the University's self-reporting two months earlier, SACSCOC sent a letter to Carolina noting the Commission's review of the Hartlyn-Andrews Report and asking for a report explaining and documenting the extent of the University's compliance with specified accreditation standards.
- The University responded to the Commission's request for a report on August 2, 2012. Carolina's submission included a range of detailed information and data on six particular accreditation standards and further information regarding the University's academic integrity. The same month the University also informed SACSCOC of certain administrative steps being taken to bolster academic integrity in response to the improprieties found in the AFAM Department.
- On August 21, 2012, SACSCOC confirmed receipt of the University's report, acknowledged certain actions Carolina had taken and reported earlier in the month to strengthen its academic integrity, and, based on the Commission's review of Carolina's report, requested supplemental information on standards pertaining to academic policies, academic support services, student records, and definition of credit hours.
- On October 10, 2012, the University responded to the Commission's supplemental requests while also informing SACSCOC of three additional reviews that the University had affirmatively commissioned—one by former Governor James Martin into any academic irregularities prior to 2007, a second by the consulting firm Baker Tilly into academic procedures and controls, and a third by Hunter Rawlings, President of the Association of American Universities, into the proper relationship between academics and athletics at Carolina.

- On October 22, 2012, SACSCOC responded to the University's October 10 submission by again recognizing the University's remedial initiatives and asking for information on the effectiveness of the implementation of those measures. The Commission also stated that its Board of Trustees would consider the overall matter.
- From December 2012 to February 2013, the University provided the review reports and addendum prepared by Governor Martin and Baker Tilly, as well as the report of a separate review undertaken by the University of North Carolina System's Board of Governors.
- On January 18, 2013, the Commission, based on its Board's review, sought further information from Carolina on the implementation of reform measures in the form of a First Monitoring Report and advised the University that a Special Committee had been authorized to visit Chapel Hill.
- On March 7, 2013, Carolina submitted its First Monitoring Report, which provided detailed information on the University's success in implementing a range of new policies and procedures on an iterative basis since 2011.
- The Commission's Special Committee visited Chapel Hill over three days in April 2013. The University worked closely with the Commission's staff to prepare for the visit, including by collaborating on meeting schedules and then scheduling the meetings, and otherwise responding to the Committee's information requests. The University does not have transcripts of what was said and by whom during the meetings, and we are not able otherwise to reconstruct the meetings at that level of detail.
- Shortly after the Committee's visit, and on May 1, 2013, SACSCOC provided the Committee's report to the University, which contained a recommendation regarding ongoing remedial measures to address matters of academic integrity. Carolina responded to the Special Committee's recommendation on May 29, 2013, by providing a short report tailored to the remaining issue of focus.
- In July 2013, SACSCOC, after reviewing the work of the Special Committee and the University's response, requested a Second Monitoring Review addressing Carolina's implementation of remedial measures regarding academic policies.
- On April 11, 2014, and following the commencement of the independent investigation which the University had informed the Commission of, Carolina submitted its Second Monitoring Report to SACSCOC. This report contained the detailed and tailored information requested by the Commission.
- On July 9, 2014, SACSCOC issued a letter to the University stating that it had reviewed Carolina's Second Monitoring Report and had no further questions for or requests of the University. The Commission took this step before Wainstein had concluded his independent investigation and thus before receiving the report findings.

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All of these communications reflect the healthy, positive, and robust relationship between the University and SACSCOC. The Commission and Carolina alike have responded to the challenges presented by the University's discovery of past irregularities exactly as expected—by working hard to find facts within the information available as part of trying to get to the bottom of the problems, focusing on remedial measures, and putting the University to the burden of rigorously demonstrating its current integrity.

Next Steps

Any discussion of the University's academic integrity would be incomplete without two related observations. The Wainstein Report underscored that the independent investigation found no evidence that the academic improprieties continued beyond the summer of 2011. Also since that time, the University has undergone significant changes in personnel, including the transition to a new senior leadership team, who commissioned the independent review.

As outlined the Overview section of this Report, Chancellor Folt was installed as the University's 11th Chancellor in October 2013. Over the next months, Folt hired a new Executive Vice Chancellor and Provost, Vice Chancellor of Development, Vice Chancellor of Communications and Public Affairs, Vice Chancellor for Workforce Strategy, Equity, and Engagement, Vice Chancellor and Chief Financial Officer, and Chief of Staff. A search is currently underway for a new UNC-Chapel Hill General Counsel, with an interim counsel currently in the position.

A number of other leadership changes, including the Director of Athletics, the Faculty Athletics Representative to the NCAA, and several Associate Deans in the College of Arts and Sciences have taken place in recent years. Furthermore, the University expects to announce a new Dean of the College of Arts and Sciences this academic year, with the outgoing Dean deserving commendation for her efforts to develop and implement a broad range of compliance remedial measures in recent years.

Carolina's new leadership team has taken many important actions and committed itself to a course forward marked by continuous improvement for the University and its students. This team made the early choice to commission the independent investigation and to make public the report and all its appendices. From the start, the new leadership also committed not only to continue extensive reforms and internal scrutiny that was begun under previous leadership, but also to adopt a proactive approach to evaluating the effectiveness of the reforms, to make further improvements to existing processes, and to hold people accountable—in short, to ensure that the past wrongdoing could not happen again.

The University's efforts to hold individuals accountable for participation in the academic failings warrants emphasis. At the October 22, 2014 news conference at which Wainstein announced the release of his report, Chancellor Folt emphasized the University's commitment to accountability. She explained that many individuals implicated in the wrongdoing are no longer employed at Carolina and further stated that the University had terminated or commenced actions against a number of employees. [On December 31, 2014, the University issued a statement](#) explaining that Carolina remained committed to "restoring trust, continuing to implement a broad range of reforms, and holding individuals accountable based on facts and evidence and consistent with fair process and appropriate

respect for their privacy.” The December 31 statement, which is available on the University’s public website, “Our Commitment: Taking Action and Moving Forward Together”, provides other information about the individuals terminated and emphasizes Carolina’s commitment to providing personnel information required by law and to respecting the privacy of due process rights of employees.

The University’s December 31 statement also explains that the ongoing personnel review process “has been and will continue to be taken very seriously and is being managed at the highest levels. Facts and fair process guide our reviews and decision-making.” The University provided even further information about the care being taken in the conduct of the reviews:

“Of the employees referred to by the Chancellor during the October 22 news conference, six were designated to undergo a review for consideration of any disciplinary action. At the Chancellor’s direction, the Executive Vice Chancellor/Provost and Vice Chancellor for Workforce Strategy, Equity and Engagement commenced a review process for each of the six employees. The review is being conducted and led by those two individuals and has entailed a review of pertinent records, discussions with each employee, and consideration of other information. The process began immediately after the October 22 news conference and is moving forward and progressing. While the University cannot pinpoint precisely when each decision will be made, the Chancellor has directed the Provost and the Vice Chancellor to complete the review process as expeditiously as possible.”

These ongoing personnel reviews have occurred alongside and against the backdrop of many other actions and initiatives taken or in the process of being taken by Carolina’s new leadership team to enhance accountability and transparency and further improve the University’s systems and controls:

- ***Integrity Working Group***: Establish a working group to ensure there are clear, consolidated and confidential channels through which individuals can share concerns. This working group also will recommend how best to oversee the University’s commitment to integrity and compliance. The University will establish and promote clear, consolidated, and confidential channels through which people can raise their hand and share their concerns. While these channels are being more fully developed, the Faculty Athletics Committee (FAC) is piloting a process for reviewing concerns brought to its attention regarding student-athletes and academics. In early 2015, Carolina will establish this working group and task them to identify necessary processes, systems, personnel, and training to ensure the University environment reinforces integrity and ethical behavior at every level.
- ***Department of African, African American and Diaspora Studies (AAAD) and Athletics Department Reviews***: The Provost has initiated a review of the AAAD Department to evaluate the Department’s administration and operations and provide the resources and oversight necessary for ongoing effectiveness. A full report on this review will be submitted to the Chancellor in 2015. The Director of Athletics also is leading the Department of Athletics in the implementation of a strategic plan. He is reviewing the necessary personnel required to provide adequate alignment with the University’s overall mission, and resources to foster the department’s success in its operations and attainment of its mission. The athletics staffing plan will enable greater focus and accountability in executing the department’s strategic plan. A full report on this review will be submitted to the Chancellor in 2015 as well.

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- **Departmental Reviews:** Develop and implement an expanded process for the systematic, consistent review of every unit and department. The Provost or appropriate unit Director has been authorized to launch a special department review as needed.
 - **Department Chair Review:** Each year a Senior Associate Dean conducts an annual review of the Chair. These reviews are up-to-date, and the next review is scheduled for summer 2015.
 - **Program Review for Schools, Departments, and Curricula:** External academic program reviews usually occur every eight to nine years. Departments that also have accreditation reviews may vary by a year or two so that the schedules can align. For instance, the business school has a “maintenance of accreditation” review by the Association to Advance Collegiate Schools of Business (AACSB) every five years, so Carolina’s review of the school happens every ten years. Each department also is required to submit a mid-cycle internal self-report. These reviews are up-to-date and on file with the Graduate School. Reviews of schools, departments and curricula are conducted by the Graduate School in conjunction with the Provost’s office. The historical pattern of program reviews every eight to nine years is being reevaluated to identify necessary resources and processes to enable increasing the rate of evaluation of programs that teach undergraduates to every five years.
 - **Post-tenure review:** Tenured faculty members receive a post-tenure review every five years from date of receiving tenure. A College of Arts and Sciences Department Chair is a tenured faculty member. The 38 department chairs in the College of Arts and Sciences are subject to this guideline as well; in 2014-2015 nine chairs will participate in a post-tenure review, and other chairs are slated for review [on a rotating schedule through 2018](#).
- **Policy and Procedure Audit:** Conduct a policy and procedure audit across the University to identify any remaining redundancies and gaps and create a mechanism for periodic re-evaluation. Athletics has completed comprehensive policy and procedure audits resulting in defined policies, clear accountabilities, and reporting procedures. A recent external audit of ticket operations demonstrated strong process adherence within athletics and University administration. In early 2015, the administration will initiate an enterprise-wide audit and utilize the findings to further enhance process excellence and compliance.
- **Advising Enhancements:** Continue to align and advance existing advising and support programs for student-athletes, further integrating the delivery of academic and career advising to include intensive and early attention to major exploration and post-college opportunities. Carolina will make additional investments in advising under an initiative called “Thrive@Carolina”.
- **Enhanced Faculty Involvement:** Add faculty to review student-athlete eligibility and progress toward degree. Members of the Faculty Athletics Committee and the University’s Faculty Athletics Representative will now be included with the Registrar’s Office, Athletics Compliance, and the Academic Support Program for Student-Athletes in the eligibility review and certification process.

- **Public Records:** Launched a [new public records website](#) to enhance accountability, responsiveness, and efficiency around records requests. The public records website was launched on October 22, 2014. In the first 24 hours, there were over 1,200 unique site visitors; a total of 20,130 Web-views occurred during the first two months.

The University's commitment to accountability is unyielding. To compromise integrity is to weaken the cornerstone on which 225 years of revered accomplishment rest. The University owes it to its students, alumni, and the people of North Carolina, among many others, to hold itself and all who work at Carolina to the highest standards of excellence and integrity in all that we do.

Conclusion

Great institutions encounter challenges, work hard to address them, and use the experience to grow stronger. The uncovering of long-standing and egregious academic wrongdoing, however limited in the broader landscape of the University's distinguished history, was crushing for the Carolina community. The affected students deserved better, and the University let them down. As an institution with a revered history of academic integrity—indeed a founding member of SACSCOC and an institution fully committed to the Commission's *Principles of Accreditation*—the University also let itself down. The failings, as fully reported to SACSCOC in the many letters, reports, and information exchanges canvassed above, were inexcusable.

The record shows that the failings also served as a call to action. From the moment the improprieties were first suspected, the University moved to conduct reviews and inform SACSCOC of its findings. As new facts emerged and the University's understanding of the scope and extent of the problems expanded, Carolina strived to keep SACSCOC timely informed. So, too, did Carolina immediately develop and institute expansive remedial measures—all designed and being implemented to prevent the failings from ever recurring—while also ensuring that these measures were conveyed to the Commission. Much of this Report describes those measures and their successes to date in significant detail, and the University has great confidence that the necessary systems, controls, and processes are in place to prevent a recurrence of improprieties described in the Wainstein Report as well as all previous reports.

Now is a not a time of any complacency, however. To the contrary, the University's new leadership team is committed to an energetic course of scrutiny, diligence, openness, and continuous improvement—to using the challenges of recent years to become an even stronger institution by developing and implementing, reaching new levels of excellence.

References

[UNC-Chapel Hill December 2014 Statement Regarding Personnel Records](#)

[College of Arts and Sciences' Department Chairs with Post Tenure Review Date](#)

[UNC-Chapel Hill Public Records Website](#)

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CORE REQUIREMENTS

2.7.2 Program Content

Core Requirement 2.7.2 Program Content

SACSCOC Request for Information Related to this Requirement

This standard expects an institution to offer degree programs that embody a coherent course of study compatible with its stated mission and based upon fields of study appropriate to higher education. Further, coherence should be a critical component of an educational program and should demonstrate an appropriate sequencing of courses, not a mere bundling of credits, so that student learning is progressively more advanced in terms of assignments and scholarship required and demonstrates progressive advancement in a field of study that allows students to integrate knowledge and grow in critical skills.

In the November 13, 2014 letter from SACSCOC, the University of North Carolina at Chapel Hill was asked to explain and document the extent of its compliance with the “Core Requirement 2.7.2 Program Content” standard by addressing the following requests for information:

The institution is requested to provide information regarding current degree program content in the Department of African, African American and Diaspora Studies, and any other educational programs with significant exposure that may have been caused by the nearly 20 years of proven academic irregularities.

Summary

Degree programs must be established based on a coherent course of study while allowing for progressive learning and advancement in a field of study. The University acknowledges that the irregularities in the former Department of African and Afro-American Studies (AFAM) affected the overall coherence of that field of study for those students who took irregular classes. This section illustrates the steps we have taken to address the issue and our current compliance with SACSCOC standards in areas of program content, and highlights the results of a recent external review of the AFAM department.

- Renamed in 2012 to signal its new leadership and important and vibrant field of study, the Department of African, African American and Diaspora Studies (AAAD) has undergone a rigorous review of its curriculum and major and minor requirements.
- The AAAD implemented important changes to its course offerings and academic review process to fully align itself with the University’s high standards of academic integrity.
- The reforms implemented by the AAAD are subject to external review and self-study designed to maintain and enhance the quality of its programs and adherence to the University’s mission.
- The most recent external review of the department, completed in October 2014, endorses the department’s scholarship and commitment to transparency and accountability.

Actions

As the courses at the center of the academic irregularities were offered by the department that is now the Department of African, African American, and Diaspora Studies, the University recognizes that ensuring the content of the program and courses in this department meet both UNC's and SACSCOC's standards is central to the University's ability to move beyond this unfortunate chapter. This section will show that, in the years since the anomalies were discovered, the department and the College of Arts and Sciences have taken very significant steps to ensure that this is the case. This conclusion has now been reinforced by the results of an external review of the department.

Program Content: Actions Taken by UNC-Chapel Hill

At the University of North Carolina at Chapel Hill, in keeping with SACSCOC standards, all degree programs must be established based on a coherent course of study while allowing for progressive learning and advancement in a field of study. The University recognizes that the irregularities in a subset of courses in the former Department of African and Afro-American Studies (AFAM) affected the overall coherence of that field of study for those students who took these courses. The [Wainstein Report](#) found no indication of "significant exposure" due to course irregularities in any other academic department.

Program Content in the Department of African, African American, and Diaspora Studies

AAAD's Curriculum Description

The University of North Carolina at Chapel Hill offers a degree program in African, African American, and Diaspora (AAAD) studies that represents a coherent course of study and has recently been validated by an external academic review. As described in the [Undergraduate Bulletin 2014-15](#), AAAD is a transnational program that emphasizes the histories, cultures, cultural linkages, and contemporary sociopolitical and economic realities of Africa and the African Diasporas in the context of a globalizing world. Department faculty members include faculty who have received University teaching awards and widely respected scholars whose work in and out of the classroom covers all major regions of Africa, the United States, and increasingly other parts of the Atlantic African Diaspora, including the Caribbean and Latin America. Faculty members approach these areas of study from multiple perspectives. As an interdisciplinary program, the department includes [faculty](#) who are trained in the fields of anthropology, film, history, international development studies, law, linguistics, music, and political science.

The department offers a Bachelor of Arts degree with a major in AAAD and a concentration either in African Studies or African American and Diaspora Studies. The department also offers a minor in African Studies and a minor in African American and Diaspora Studies. Finally, the department offers language instruction in Swahili, Wolof, Lingala, and Chichewa. The department does not offer graduate degrees.

The undergraduate degree program in AAAD is structured like all other undergraduate degree programs at UNC-Chapel Hill, to include: (1) the general education curriculum consisting of

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requirements that are common to all fields of study, (2) more specialized requirements for a major field, and (3) electives to provide additional breadth to the educational experience. Requirements for the AAAD undergraduate degree major, as for each undergraduate major, can be viewed in the [Undergraduate Bulletin](#) and on the [Academic Advising Programs website](#).

AAAD's 2012 Curriculum Reform

The current AAAD undergraduate degree major and minor requirements have been in place since the fall 2013 term. The department's current curriculum was developed by department faculty and [proposals](#) were reviewed and approved in the spring 2012 term. The curriculum changes were also built on recommendations of the "Review of Courses in the Department of African and Afro-American Studies" ([Hartlyn-Andrews Report](#)), regarding the need to review and strengthen departmental policies and practices.

The department requested revisions to the major and minor requirements as well as a change of name for the unit to the College's Office of Undergraduate Curricula on [September 5, 2012](#). The departmental curriculum revisions and name change were intended to signal to students the strong inter-connections that existed across the fields of African, African-American, and Diaspora Studies within the department.

The departmental request was submitted to the [Administrative Boards of the General College and the College of Arts and Sciences](#) for review. The Administrative Boards of the General College and the College of Arts and Sciences are responsible for advising the Dean of the College about the undergraduate curriculum including changes in that curriculum, approving individual courses offered in departments and curricula of the College, and making decisions regarding requirements for each of the undergraduate degree programs within the College. The administrative boards reviewed AAAD's request for curriculum revisions and name change at meetings on [September 18, 2012](#) and again on [October 30, 2012](#) when the request was approved. Formal notification of the approval was provided to the department on [November 2, 2012](#).

AAAD's Curriculum Coherence

The current department major is coherent and builds upon an appropriate sequencing and combination of courses. The major consists of 10 courses (30 credit hours) and offers two concentrations, in African Studies and in African American and Diaspora Studies. First-year seminars and other courses numbered below 100 (designed for first- and second-year students) do not count toward the major.

- Students in both concentrations take the following three common courses (total of nine credit hours) and these courses help create a common intellectual framework for them:
 - Introduction to African Studies (AAAD 101, three credit hours)
 - Introduction to African American and Diaspora Studies (AAAD 130, three credit hours)
 - Intellectual Currents in African and African Diaspora Studies (AAAD 487, three credit hours).

- All majors are required to take the Undergraduate Research Seminar (AAAD 395, three credit hours) in their concentration (or with appropriate permission in the other concentration), typically in their junior or senior year. The emphasis in AAAD 395 is on the development of research skills through a disciplinary investigation into a topic relevant to the fields of African or African American and Diaspora Studies.
- The requirements for the remaining six courses (18 credit hours) ensure that students will take a proper distribution of junior- and senior-level courses that provide breadth of knowledge in both the concentration that is their major area of focus as well as the other concentration offered by the department. The rules for selecting these six courses are:
 - Up to three courses must be from the student's major concentration
 - One course must be from outside the student's major concentration
 - Two courses must be numbered above 399 (designed to be taken by advanced undergraduate and graduate students)
 - One course may come from a list of approved junior and senior level courses outside the department.

AAAD also offers minors in African Studies and in African American and Diaspora Studies, both of which consist of 15 credit hours. [Requirements for the minors](#) are detailed in the Undergraduate Bulletin.

The coherence of the new curriculum was strongly affirmed in the October 2014 report of the external review committee.

AAAD's Academic Compliance

AAAD continues to adhere strictly to the academic policies detailed in UNC-Chapel Hill's [March 2013 First Monitoring Report to SACSCOC](#) including those related to independent study courses and course syllabi requirements that are described in more detail in the response to [Comprehensive Standard 3.4.5 \(Academic Policies\)](#). With the exception of two students who completed honors theses in the spring 2013 term, the department enrolled no students in independent study courses during the 2013-2014 academic year or in the fall 2014 term. The Wainstein Report concluded that no irregular courses occurred after 2011.

Summary of Major Reforms in AAAD, 2012-14

Based on its extensive reviews, the University recognizes that the irregular courses that students took in the former AFAM department stemmed from, among other things, the manner in which the department was governed and how the curriculum was managed since the early 1990s. As such, through its Offices of the Chancellor, the Provost and the Dean, the University has worked intensely

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with Department Chair Sahle and AAAD faculty to institute the following major reforms in efforts to ensure that such courses are never offered in the department again:

Departmental Governance

As of the spring 2012 term, the governance of the department is underpinned by the principle of shared governance. From the perspective of the current chair and faculty, the model of shared governance is the best way to promote the active involvement of faculty in guiding the work of the department. Further, this form of departmental governance assesses and develops faculty leadership skills, and more importantly, it gives faculty voice in curriculum and other matters. Overall, the aims of departmental governance reforms have been focused on:

- Enhancing the department's commitment to academic integrity and excellence in research, teaching, and service.
- Ensuring AAAD adherence to University policies and procedures.
- Encouraging active citizenship, transparency, accountability, and participation in the governance of the department, as well as building a sense of faculty ownership of the unit's future.
- Deepening social cohesion and interchange across academic specialties represented in the department.

Policies on Exams and Grading

University policies on exams and grading are clearly stipulated in AAAD Policies and Procedures Notebook. The department chair in collaboration with the Dean's office ensures that faculty members follow these policies.

Curriculum Development and Management

Syllabi

- As of January 2012, AAAD introduced [syllabi requirements](#). As part of these requirements, faculty members submit their syllabi to the Director of the Undergraduate Studies, the department chair, and their students by the first day of classes.
- The University requires the Director of Undergraduate Studies and the department chair to keep AAAD's syllabi for four years.

Contract for Independent Study Courses

- The current [AAAD Contract for Independent Studies](#) was adopted by faculty in the fall 2011 term and has been in effect since then. The requirements and procedures of the contract are outlined in [AAAD's Policies and Procedures Notebook](#) which is included in this report.

Curriculum Development and Management: Responsibility

- Since 2012, the chair and faculty are responsible for curriculum development and management. During the semester, the chair works closely with the department's Director of Undergraduate Studies and the Academic Affairs Committee on curriculum development. Further, the chair and the Director of Undergraduate Studies are responsible for curriculum management in collaboration with the Dean's office. It is important to note that members of the administrative staff are not involved in curriculum matters.

Course Scheduling: Responsibility

The chair is responsible for scheduling courses in consultation with faculty. Staff members are not involved in the assigning of courses that faculty teach in a given academic year.

AAAD Chair: Oversight by the Dean's Office and AAAD faculty**Dean's Office Oversight**

As mandated by the University, the Senior Associate Dean for Social Sciences and Global Programs reviews the teaching, research, service, and administrative work of the chair annually.

Faculty Oversight

The work and practices of the following departmental standing committees provide oversight on the work of the chair:

Course Scheduling, Audit, and Salary Committee

- Reviews and approves courses scheduled by the chair.
- Conducts an audit of courses taught in the department annually.
- Advises the chair on salary matters. Further, it reviews each faculty member's salary increase before the chair submits it to the Dean's office.

Chair's Advisory Committee

- Sets the agenda for faculty meetings.
- Advises the chair on departmental governance matters.
- Advises the chair on departmental initiatives.

Standing Personnel Committee (composed of full professors from AAAD and other departments, the latter appointed by the Dean's Office)

- Advises the chair on personnel matters.

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- Participates in review of AAAD faculty.
- Votes on tenure-track faculty hires, reappointments, and promotions of faculty.

Staff Duties and Annual Reviews

As of 2012, the duties of staff members in the department are clearly stipulated in AAAD's Policies and Procedures Notebook, and their University-mandated work plans. Further, the chair conducts annual reviews of AAAD's staff members and submits reports to the Dean's Office.

2012-2014 Reforms in AAAD: Conclusion

To conclude this section, one of the major lessons from the subset of irregular classes offered in the former AFAM department is the importance of paying attention to the work of departmental chairs. Consequently, as part of the University's ongoing efforts to institute policies and processes that strongly protect academic integrity, the Chancellor has given the Provost the mandate to work systematically with AAAD's chair to ensure that all of the reforms that have been introduced at the departmental and University levels are systematically consolidated in the department. Further, if need be, the department will introduce new policies and procedures. In addition, the Chancellor has asked the department chair to provide a report on the status of these reforms no later than May 1, 2016.

External Academic Program Review of the Current AAAD Program

UNC-Chapel Hill carries out regular [academic program reviews](#) to maintain and enhance the quality of undergraduate and graduate programs offered by its academic departments. Before the fall 2012 term in the College of Arts and Sciences, only units with graduate programs underwent such reviews. In fall 2012, the College determined that all units, including those that only offer undergraduate programs, would also undergo academic program reviews similar to those with both graduate and undergraduate programs. These reviews involve an assessment process that includes a self-study, a site visit by external reviewers (joined by one campus reviewer), and a follow-up meeting with the Dean (and representatives from the Provost's Office and The Graduate School). AAAD completed the self-study in preparation for the review of its undergraduate program in August 2014. The [self-study report](#) provided detailed information about the curriculum, the students, and the faculty.

The external site visit team that reviewed AAAD was on campus September 28-30, 2014 and conducted a full schedule of interviews with administrators, department faculty, and student majors. The external review team members were Michael Schatzberg, Professor of Political Science, University of Wisconsin at Madison (Chair); Martha Biondi, Professor and Chair, African American Studies Department, Northwestern University; K.C. Morrison, Professor and Head, Department of Political Science and Public Administration, Mississippi State University; and William C. Ferris, Joel Williamson Eminent Professor of History, UNC-Chapel Hill.

Their final [report](#) submitted on October 28, 2014 provides a strong endorsement of the department's new curriculum, the first-rate scholarship of its faculty, and the new department culture involving high levels of transparency, participation, and accountability.

The report notes:

“During the course of our stay it became quite clear that over the past two years the AAAD Studies Department has made enormous progress in recreating itself as a very good department on the cutting edge of its discipline. Under the guidance of Dr. Eunice Sahle, its new department chair, a new curriculum has been formulated and installed; the core academic mission of the department to provide “an interdisciplinary undergraduate education on the experience and agency of people of African descent all over the world, with specific attention to their histories, cultures, and contemporary socio-political realities” (AAAD 2014:2, “Self Study”), has been advanced; and a culture of democratic transparency, participation, and accountability has been installed where none had existed previously. In addition, the department has continued to produce first-class scholarship and to diffuse this new knowledge through both publications and outreach activities to the world of scholarship (local, national, and international), as well as to interested local and regional communities in North Carolina. The addition of two annual conferences in 2013 and 2014, one devoted to undergraduate research and one devoted to well-known local and international scholars, has aided enormously in these tasks.” (Page 1).

With regard specifically to the new curriculum, the report of the external review team states:

“In 2013-2014 the department transformed its curriculum and changed its name to the Department of African, African American, and Diaspora Studies to better reflect both the skills and interests of its faculty, and to bring itself into closer alignment with the emerging and cutting edge perspectives that are now current in the field. The intent was to convey the message to students and colleagues that the department views ‘the study of the experience and agency of the people of African descent worldwide as a single field of academic inquiry with similar issues. These include questions of race and racism in the modern and contemporary worlds; the political economy of power imbalances and inequality in resource distribution nationally and internationally; knowledge production, religion, and social change; cultural production and identity formation; and gender, sexuality and the body. These and related questions are best addressed from historical, transnational, and interdisciplinary perspectives” (AAAD 2014:15, “Self Study”).

“Majors have a choice in orientation, however, and may choose between two concentrations, or tracks: one in African Studies, the second in African American and Diaspora Studies. Interestingly, however, the two tracks are woven together because four of the ten courses required for the major are the same in both tracks. So the department is thus able to remain true to its common vision of the field and to insure that the undergraduates also receive the same dual grounding in the subject matter. We suspect that this will also have the happy effect of maintaining the department’s unified vision of the field. This is also important because at other institutions there are times when African Studies and African American Studies reside in an uneasy marriage and the result is often a highly fractious and divided department. Both wings of AAAD Studies, however, seem genuinely to respect each other and that seems to be reflected in the new curriculum which reflects a common vision of the field of study that is extremely current. Furthermore, the addition of the capstone course and the undergraduate research course are also noteworthy and most welcome developments.”(Pages 2-3).

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The report of the external team also offers [two recommendations](#) for enhancing the undergraduate curriculum. One relates to adding a course on research methods, which could be the same for both concentrations of the undergraduate curriculum, to ensure that the department's undergraduates receive further analytical training. The department's Academic Affairs Committee (as described in the AAAD's 2013-2014 Policies and Procedures Notebook), which is currently (2014-2015) composed of seven faculty members is reviewing this suggestion. Another recommendation concerns finding a way to further build the study of African languages into the fabric of the major. The external review team recommends that AAAD majors who pursue the study of an African language be permitted to count any language course beyond the third semester toward the fulfillment of the 10 courses required by the major's African Studies concentration; these upper-level language courses should also be counted toward the courses required to obtain a minor. In response to the report, the department is requesting approval from the Administrative Boards of the College to add the appropriate upper-level languages courses in Lingala, Swahili, and Wolof to the African Studies concentration major and the African Studies minor. If approved by the Administrative Boards, this change will take effect in the fall 2015 term.

Conclusion

In the years since the academic anomalies were discovered, the University, the College of Arts and Sciences, and the AAAD Department have all gone to great lengths to reinvent the department's programs to represent a well thought out, coherent, and cumulative body of knowledge. The recently completed external review reinforces the conclusion that the courses and programs offered by this department meet the highest of academic standards, and indeed, are a source of pride for the University.

References

[“Investigation of Irregular Classes in the Department of African and Afro-American Studies at the University of North Carolina at Chapel Hill,” October 16, 2014 \(“Wainstein Report”\)](#)

[Undergraduate Bulletin 2014-15](#)

[AAAD Faculty Curricula Vitae](#)

[Requirements for major and minors on Academic Advising website](#)

[AAAD Major and Minor Requirement - Letter to the Office of Undergraduate Curricula](#)

[AFAM Curriculum Revision Proposal](#)

[Hartlyn-Andrews Report](#)

[Administrative Boards of the General College and the College of Arts and Sciences – General Description](#)

[Administrative Boards of the General College and the College of Arts and Sciences: Minutes September 18, 2012 and October 30, 2012](#)

[Administrative Boards of the General College and the College of Arts and Sciences – Letter, November 2, 2012](#)

[AAAD Requirements for Minors, *Undergraduate Bulletin* Excerpt](#)

[March 2013 First Monitoring Report to SACSCOC](#)

[AAAD Syllabi Requirements](#)

[AAAD Contract for Independent Studies](#)

[AAAD Polices and Procedures Notebook](#)

[AAAD Program Review, August 27, 2014](#)

[AAAD Final Report - External Review Team, October 28, 2014](#)

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COMPREHENSIVE STANDARDS

- 3.2.7 Organizational Structure*
- 3.2.9 Personnel Appointment*
- 3.2.11 Control of Intercollegiate Athletics*
- 3.4.3 Admissions Policies*
- 3.4.5 Academic Policies*
- 3.4.9 Academic Support Services*
- 3.7.2 Faculty Evaluation*
- 3.7.4 Academic Freedom*
- 3.7.5 Faculty Role in Governance*
- 3.9.2 Student Records*
- 3.9.3 Qualified Staff*
- 3.13 Policy Compliance*

Comprehensive Standard 3.2.7 Organizational Structure

SACSCOC Request for Information Related to this Standard

This standard expects an organization to have a clearly defined and published organizational structure that delineates responsibility for the administration of policies. Further, the organizational structure should provide the necessary foundation for internal and external understanding of the institution's operations.

In the November 13, 2014 letter from SACSCOC, the University of North Carolina at Chapel Hill was asked to demonstrate compliance with this standard by addressing the following specific requests for information:

The institution is requested to provide its organizational structure chart with clearly depicted reporting lines of authority. Provide discrete organizational structures for each department in the College of Arts and Sciences, and each unit within the Athletics Department, with clearly depicted reporting lines of authority.

Summary

A clearly defined and published organizational structure that delineates responsibility for the administration of policies enables the effective exercise of authority and control over the institution's operations. The University has acknowledged that the academic irregularities went unchecked in part due to unclear reporting relationships and missing "checks and balances." In this section of the report, we will describe our current organizational chart and reporting lines of authority and show how the University's departments are currently structured to ensure effective implementation of policies and full compliance with SACSCOC Principles of Accreditation.

- The University's organizational structure is designed in a fashion to ensure that the institution as a whole is committed to operating with the highest levels of effectiveness, integrity, and excellence.
- The structures of the Office of the Chancellor, the Office of the Provost and Executive Vice Chancellor, the College of Arts and Sciences, and the Department of Athletics are clear and allow for effective implementation of the University's policies and operations.
- Each organizational chart provides the necessary foundation for internal and external understanding of the institution's operations.

Actions

UNC-Chapel Hill's Role in the University of North Carolina System

The University of North Carolina at Chapel Hill is a constituent institution of the University of North Carolina (UNC). The University of North Carolina is a consolidated state-owned higher education system that was reorganized and expanded in 1971 by the General Assembly of North Carolina through "An Act to Consolidate the Institutions of Higher Learning in North Carolina," codified as North Carolina General Statutes Chapter 116. It is through this statute that the State of North Carolina authorizes the University of North Carolina and its constituent institutions, including UNC-Chapel Hill, and creates the University's organizational structure.

UNC Board of Governors

The UNC Board of Governors (BOG) is the body charged with governance and control of the 17-campus University of North Carolina system as described in [N.C. General Statutes § 116-3](#).

Subject to any superseding federal or state legal requirements, the BOG holds general authority to supervise and manage the affairs of the UNC system, including the power and duty to: determine educational activities and approve academic programs and types of degrees to be awarded; elect, on nomination of the President, the chancellor of each of the constituent institutions; appoint all vice-chancellors, senior academic and administrative officers, and persons having permanent tenure, on recommendation of the President and of the appropriate institutional chancellor; and fix the compensation of appointees to these positions.

The Board of Governors can and does delegate aspects of its authority over the affairs of the University of North Carolina to the President. In addition, the Board delegates its authority over the affairs of any institution to the board of trustees or, through the President, to the Chancellor of the institution. The mechanism for such delegation is generally through adoption of policies set out in the [University of North Carolina Policy Manual](#).

University of North Carolina President

By statute, the President serves as the Chief Administrative Officer of UNC. Each institution is headed by a Chancellor, who is chosen by the Board of Governors on the President's nomination and is responsible to the President. Each institution has a board of trustees, which holds extensive powers over academic and other operations of its institution on delegation from the BOG.

UNC-Chapel Hill Board of Trustees

The UNC-Chapel Hill Board of Trustees (BOT) is charged with policy-making and oversight functions, and the University's administration and faculty are charged with responsibility for implementing and administering those policies as set out by The Code of the University of North Carolina.

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Organizational Structure

In addition, Section 301 of the [By-Laws of the UNC-Chapel Hill Board of Trustees](#) describes the role of the Board as “advisory” with regard to the Chancellor’s responsibility for management and development of the campus.

UNC-Chapel Hill Chancellor

The Chancellor’s role and responsibilities in managing the campus are described in [Section 502 \(A\)](#) of The Code of the University of North Carolina: “The administrative and executive head of each constituent institution shall be the chancellor, who shall exercise complete executive authority therein, subject to the direction of the president. The chancellor shall be responsible for carrying out policies of the Board of Governors and of the board of trustees.” In addition, [Section 502 \(B\) \(6\)](#) provides that, “the chancellor shall be the official medium of communication between the president and all deans, heads or chairs of departments, directors, and all deans, heads or chairs of departments, directors, and all other administrative officers, faculty members, students, and employees.” Further, [Section 502 \(C\)](#) states that “the chancellor shall be the official medium of communication between the boards of trustees and all individuals, officials, agencies, and organizations, both within and without the institution.”

UNC-Chapel Hill’s Administrative Structure and Organizational Charts

UNC-Chapel Hill’s administrative structure is published on the [University’s website](#), with additional detail provided through the websites of the [Chancellor](#), the [Executive Vice Chancellor and Provost](#), the vice chancellors, and the [deans of the College of Arts and Sciences and the professional schools](#).

This response focuses specifically on the organizational structure of the Office of the Chancellor and direct reports, the Office of the Executive Vice Chancellor and Provost and reporting units, as the primary organizational charts for the institution. As requested, it also provides the organizational structures of the College of Arts and Sciences and its individual departments, and the Department of Athletics and its administrative units.

Office of the Chancellor

The Chancellor is the administrative and executive head of the University, responsible for carrying out the policies of both the UNC System Board of Governors and those of the UNC-Chapel Hill Board of Trustees.

As illustrated in the [University’s overall organizational chart](#), the Executive Vice Chancellor and Provost, the Vice Chancellor and General Counsel, the Director of Athletics, and all but three of the other Vice Chancellors report directly to the Chancellor. The Vice Chancellors for research, student affairs, and information technology report directly to the Executive Vice Chancellor and Provost with a dotted-line reporting relationship to the Chancellor. Each Vice Chancellor is charged by the Chancellor with responsibility for one of the University’s primary missions (academics, research, and medical affairs) or for a major functional area (student affairs; workforce strategy, equity and engagement; finance and administration; information technology; development; and communications and public affairs).

The Executive Vice Chancellor and Provost, Vice Chancellors, the Vice Chancellor and General Counsel, and the Director of Athletics are responsible for administering the policies of the Board of Governors, the Board of Trustees, and the University within their individual areas.

Office of the Executive Vice Chancellor and Provost

The Executive Vice Chancellor and Provost is the University's chief academic officer. As illustrated in the [organizational chart](#) the Deans of the College of Arts and Sciences and of the professional schools, the Dean of the Graduate School, University libraries, and enrollment and undergraduate admissions offices report to the Provost. In addition, and as indicated above, the Vice Chancellors for information technology, research, and student affairs report to the Provost, and have a dotted-line reporting relationship to the Chancellor.

The Academic Support Program for Student-Athletes (ASPSA) began reporting to the Provost in May 2013 when the current director was hired. The program had been housed in the College of Arts and Sciences since the early 1980s. This [shift in reporting lines](#) sought to ensure more direct oversight of the University's responsibilities for the academic success of student-athletes and to avoid any appearance of conflict of interest.

College of Arts and Sciences

The Dean leads the College of Arts and Sciences, which is the University's largest academic unit with more than 16,000 undergraduates and nearly 2,600 graduate students. It encompasses more than 70 academic departments, curricula, programs, and centers, and includes approximately 1,000 faculty members.

Serving under the Dean are six Senior Associate Deans who are responsible for the academic units, student support services, and administrative functions within the College, as shown in the [organizational chart for the College of Arts and Sciences](#).

Each academic unit in the College of Arts and Sciences is assigned to one of three major discipline-based areas headed by a Senior Associate Dean: [Fine Arts and Humanities](#), [Natural Sciences and Mathematics](#), and [Social Sciences](#) and [Global Programs](#). Department and curricula chairs, and directors of academic centers and institutes report to the Senior Associate Dean of their respective division.

These Senior Associate Deans are responsible for the management of the academic units in their respective division and serve as liaisons between departmental chairs, program directors, and the Dean. They work closely with the chairs and directors on recruitment, development and retention of College faculty, and on departmental budgets. In consultation with the Dean, they appoint or re-appoint departmental chairs and program directors. They also review the chairs' annual reports of their activities and accomplishments.

The [Senior Associate Dean for Undergraduate Education](#) is responsible for management of the general education curriculum; administration of academic policies and procedures; and supervision of units that deliver academic support services to undergraduate students across campus. Reporting to the

COMPREHENSIVE STANDARD 3.2.7

Organizational Structure

Senior Associate Deans are the associate deans and directors who head the offices of Undergraduate Curricula, Academic Advising, Retention, the Center for Student Success and Academic Counseling, Honors, Instructional Innovation, Undergraduate Research, and the Robertson Scholars program.

The administration and business operations of the College of Arts and Sciences are overseen by the [Senior Associate Dean for Finance and Planning](#). The Senior Associate Dean for Development also serves as executive director of the [Arts and Sciences Foundation](#). Other direct reports to the Dean include the Director of Communications and Director of the [Office of Arts and Sciences Information Services](#).

Department of Athletics

The Director of Athletics, who reports directly to the Chancellor, leads the Department of Athletics, the administrative home for the University's sponsorship of 28 varsity sports programs involving more than 800 student-athletes. For men, the varsity sports programs are in baseball, basketball, cross country, fencing, football, golf, lacrosse, soccer, swimming and diving, tennis, track and field (indoor), track and field (outdoor), and wrestling. For women, these sports include basketball, cross country, fencing, field hockey, golf, gymnastics, lacrosse, rowing, soccer, softball, swimming and diving, tennis, track and field (indoor), track and field (outdoor), and volleyball.

As shown on its [organizational chart](#), the Office of the Director of Athletics is responsible for the administration and operations of the Department of Athletics under the Office of the Chancellor.

The Faculty Athletics Representative (FAR) to the Atlantic Coast Conference (ACC) and National Collegiate Athletic Association (NCAA) has a dotted-line reporting relationship with both the Director of Athletics and the Chancellor, underscoring the importance of that position in representing the academic interests of the faculty and how those interests intersect appropriately with athletics.

In addition to oversight of all Department of Athletics operations, the Director of Athletics directly supervises the coaching staff for the revenue sports: football, men's basketball, and women's basketball.

Reporting to the Director of Athletics are an Executive Associate Athletics Director, six Senior Associate Athletics Directors, two Associate Athletics Directors, and one Assistant Athletics Director. Together, this executive leadership team is responsible for overseeing the following areas: the coaching staff for all non-revenue sports, [Athletics Communications](#), Business Office, [Compliance Office](#), Facilities, [Operations](#), Finley Golf Course, Human Resources, Marketing and Promotions, and the Ticket Office.

The Senior Associate Athletics Director responsible for [Student-Athlete Services and the Compliance Office](#) also serves as the Department of Athletics liaison with the Office of Undergraduate Admissions and the Academic Support Program for Student-Athletes, which, as previously noted, report to the Executive Vice Chancellor and Provost. These duties are part of the Director of Athletics Lawrence "Bubba" Cunningham's efforts to reorganize the department to strengthen its alignment with the University's academic mission. This structure also reflects key principles in the department's strategic plan, "[Carolina Leads](#)."

Next Steps

The University will continue to examine its organizational structure and leadership and make changes when appropriate to ensure that operations are carried out effectively and efficiently, and that appropriate safeguards are in place to oversee all of its responsibilities. Changes in leadership structure and personnel in the College of Arts and Sciences and the Department of Athletics have also occurred.

Conclusion

The organizational structures of the University are clearly delineated, readily available, and designed to most effectively carry out the functions of the institution. The structures continue to be examined to ensure effective oversight and management of institutional responsibilities.

References

[N.C. General Statutes § 116-3](#)

[University of North Carolina Policy Manual](#)

[The Code of the University of North Carolina](#)

[University of North Carolina at Chapel Hill Board of Trustees By-Laws](#)

[UNC-Chapel Hill website](#)

[Office of the Chancellor website](#)

[Executive Vice Chancellor and Provost Web page](#)

[College of Arts and Sciences Web page](#)

[University Level Organizational Chart with Chancellor's Reporting Units](#)

[Executive Vice Chancellor and Provost Organizational Chart](#)

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

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

[Fine Arts and Humanities Website](#)

[Natural Sciences and Mathematics Website](#)

[Social Sciences Website](#)

[Global Programs Website](#)

[Senior Associate Dean for Undergraduate Education Web page](#)

COMPREHENSIVE STANDARD 3.2.7

Organizational Structure

[Senior Associate Dean for Finance and Planning Web page](#)

[Arts and Sciences Foundation Website](#)

[Office of Arts and Sciences Information Services Website](#)

[Department of Athletics Organizational Chart with Unit Level Charts](#)

[Athletics Communications Organizational Chart](#)

[Athletics Compliance Office Organizational Chart](#)

[Athletics Operations Organizational Chart](#)

[Carolina Leads](#)

Comprehensive Standard 3.2.9 Personnel Appointment

SACSCOC Request for Information Related to this Standard

This standard expects an institution to publish policies regarding the appointment, employment, and evaluation of all personnel.

In the November 13, 2014 letter from SACSCOC, the University of North Carolina at Chapel Hill was asked to explain and document the extent of its compliance with the “Comprehensive Standard 3.2.9 - Personnel Appointment” standard by addressing the following specific requests for information:

The institution is requested to provide policies and evidence of implementation of those policies pertaining to the appointment, employment and evaluation of all personnel. Specifically, address the application of those policies to administrative staff at a parallel level to the administrative assistant in the former AFAM department. Show how the policies are effective in evaluating the capability of individuals at that level, and how the institution ensures that appropriate oversight and review occur.

Summary

Consistent, well-defined personnel policies and procedures are necessary to ensure effective administrative and academic oversight in any university environment.

- The policies regarding appointment, employment, and evaluation of all University personnel are publicly available and designed to ensure effective management.
- Within the College of Arts and Sciences administrative managers receive additional education, evaluation, and oversight.
- The University complies with UNC General Administration Policy 700.6.1, adopted April 2013, to review and evaluate performance of department heads to rectify the lack of administrative oversight that allowed the academic irregularities to occur.

Actions

This response provides an overview of the policies and evidence of implementation regarding appointment, employment, and evaluation of all personnel at the University. As requested, a description is provided of the application of these policies to administrative staff at a level parallel to the administrative assistant in the former AFAM department. The University has improved these policies in recent years and is committed to ensuring their implementation in a manner that prevents the shortcomings that allowed the academic irregularities to occur in the first instance.

Background

University Employee Categories

Employee positions at UNC-Chapel Hill are grouped into three broad categories: *SPA*, *EPA Non-Faculty*, and *EPA Faculty*.

SPA: The [State Human Resources Act of North Carolina](#) (SHRA) is the established state system of personnel administration under the Governor of North Carolina, pursuant to which non-faculty (staff) positions are governed. These are typically referred to as SPA (“state personnel act”) positions (the SHRA was previously known as the State Personnel Act). Accordingly, the University follows the appointment and employment policies and procedures (including performance management policy) set forth by North Carolina’s Office of State Human Resources (OSHR), which has delegated authority to the University for approval of personnel actions through decentralization agreements. Administrative staff at a parallel level to the administrative assistant in the former AFAM department are classified as SPA employees.

EPA Non-Faculty: Certain positions – most research, instructional and senior administrative/executive positions – are exempt from most provisions of the [State Human Human Resources Act](#). These positions, which are typically referred to as EPA Non-Faculty positions, are governed by policies established by UNC General Administration under the authority of the UNC Board of Governors. There are two major types of EPA Non-Faculty positions: Instructional, Research and Public Service (IRPS), and Senior Academic and Administrative Officers (SAAO).

EPA Faculty: EPA Faculty appointments are also exempt from most provisions of the [State Human Human Resources Act](#) of North Carolina. These positions, which can be either fixed-term or tenure-track, are also governed by policies established by UNC General Administration under the authority of the UNC Board of Governors.

Policy Dissemination and Availability

In compliance with the University’s [Policy Development, Approval and Publication](#) policy, University and administrative policies -- including those pertaining to appointment, employment, and evaluation of each personnel category -- are widely available to all employees on the [University and Administrative Policies](#) website, as well as separately across various departmental websites. Policy changes are announced via “Formal Notice” emails to applicable audiences.

Each University personnel policy is overseen by a specific unit in the Office of Human Resources, Equal Opportunity and Compliance Office, or Academic Personnel Office, which develops procedures and protocols for compliance with the policies.

The University has incorporated OSHR policies governing appointment, employment, and evaluation of SPA positions and housed them on the website of the [Office of Human Resources](#), which is part of the University’s Division of Workforce Strategy, Equity, and Engagement.

Policies governing appointment, employment, and evaluation of EPA Non-Faculty positions are also posted on the website of the [Office of Human Resources](#).

Policies governing appointment, employment, and evaluation of EPA Faculty positions are posted on the website of the [Academic Personnel Office](#), which is part of the Office of the Executive Vice Chancellor and Provost.

Appointment Policies

SPA Recruitment and Selection

The University's Recruitment and Hiring Policy for SPA Employment states:

"The University consistently applies the SPA employee selection process to promote open and fair competition and to select from the most qualified persons to fill vacant positions. Selection decisions are based solely on job-related criteria. Employment is offered based upon the job-related qualifications of applicants using fair and valid selection criteria and upon satisfactory completion of all relevant reference checking, pre-employment background checking, credentials verification, and verification of eligibility to work in the United States.

"No selection decision shall be made that will constitute discrimination in violation of State and federal law. The University will give equal employment opportunity to all applicants, without regard to race, color, gender, national origin, age, religion, creed, genetic information, disability, veteran's status, sexual orientation, gender identity or gender expression. Preferential treatment will not be given to any private organization or individual based on undue political affiliation or influence."

The Office of Human Resources is responsible for the SPA recruitment and selection process and has developed comprehensive procedures to ensure compliance with this policy statement and state employment policy. The office also offers voluntary training classes in the SPA hiring process, interviewing skills, and behavior-based interviewing.

When a position is vacated or created, an open, competitive recruitment must occur. A [posting request](#) must be submitted to the Office of Human Resources' Employment and Staffing unit. All SPA positions must be publicly posted in a variety of locations, for a minimum of five business days, and be in both hard copy and electronic form. Under specific, exceptional circumstances, a waiver of posting may be granted by the Employment Manager in the Office of Human Resources.

Each [posting](#) must list the minimum education and experience and competency requirements (knowledge, skills, and abilities) necessary for successful job performance. The posting must also provide a hiring salary range commensurate with our career banding compensation program, which aligns competencies required for the position with market pay related to the position and its competencies, and UNC General Administration rules. Hiring managers are accountable for making, justifying, and documenting fair, consistent, non-discriminatory, and fiscally responsible recommendations and decisions with regard to managing compensation and internal pay alignment. A selected candidate must be offered a salary within the advertised hiring range in the posting.

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Applicants must apply through the University's online applicant tracking system ([example Application for Employment](#)). Upon receipt, applications are automatically referred to the hiring manager through the applicant tracking system. The hiring department evaluates applicants to ensure they meet the minimum education and experience requirements and any essential skills required for a position. The interview pool for each position is also reviewed by an Employment Consultant in the Office of Human Resources before any interviews are conducted, to ensure that each candidate meets the minimum education and experience requirements. Hiring departments cannot interview any candidate whose application was not referred via the applicant tracking system.

Following the interview process, hiring supervisors are required to complete [reference checks](#) on the selected candidate prior to recommendation for employment. Selected candidates must satisfactorily complete a [background check](#) conducted through the Office of Human Resources prior to employment. State laws ([G.S. 126-30](#) and [G.S. 14-122.1](#)) require the verification of certain educational and professional credentials; credentials checks are performed by the Office of Human Resources.

EPA Recruitment and Selection

The University's Equal Opportunity and Compliance Office, a unit of the Division of Workforce Strategy, Equity and Engagement, conducts recruitments for EPA personnel (both faculty and non-faculty) and has developed [comprehensive procedures](#) for compliance with the Employment Policies for EPA Non-Faculty Employees and the policies of the UNC Board of Governors.

A posting request must be submitted to the Equal Opportunity and Compliance Office. Posting include the responsibilities of the position, as well as the minimum and preferred education, experience, and skills. The posting must be approved by the school or division Equal Employment Opportunity approver and the Equal Opportunity and Compliance Office. Under specific, exceptional circumstances, a waiver of recruitment may be requested by a department and approved by the Director of the Equal Opportunity and Compliance Office.

A search committee must be appointed for all EPA positions. [Committees must have](#) at least three members and be diverse; also, each committee member is required to complete an [online search committee training](#) module designed by the EOC Office before the search process begins. Thereafter, the hiring manager gives the committee a charge setting forth the expectations for the position and the search committee's role. The committee charge includes selection criteria that are objective and based on the position requirements.

Candidates for EPA Non-Faculty positions must apply through the applicant tracking system; candidates for faculty positions may apply via email. Once an applicant has submitted an application, it is referred to the hiring department. The hiring department evaluates applications. Once an interview pool is chosen, it must be submitted for approval by the Equal Opportunity and Compliance Office before interviews are offered to candidates.

Following the interview process, a selected candidate is submitted through the applicant tracking system. The selected candidate must be approved by the Equal Opportunity and Compliance Office before an offer of employment can be made. Hiring supervisors are required to complete reference

checks on the selected candidate prior to recommendation for employment. Selected candidates must satisfactorily complete a [background check](#) conducted by the Office of Human Resources prior to employment.

The Office of Human Resources also [verifies certain educational and professional credentials](#) for University employees as required by state law. Credentials requiring verification are the highest job-related post-secondary degree, diploma, or certificate. In addition, any professional license, registration, or certification used to qualify the candidate, applied as a pay factor, or required by regulation for the position must also be verified. The employing unit must submit these requests to the Office of Human Resources as part of the required background check process.

As set out in the [Code of the University of North Carolina](#), the Board of Governors delegates authority to the UNC-Chapel Hill Board of Trustees and the Chancellor to approve the appointments of faculty and EPA non-faculty. Both types of EPA appointees are presented to the Board of Trustees for approval; faculty must also undergo a review by the Faculty Council's Appointments, Promotions, and Tenure Committee following the recommendation from the Dean of the appointing unit and before presentation to the trustees. Certain appointments such as chancellor, vice chancellors, deans, directors of major public service activities, and faculty appointments to permanent tenure must also be approved by the UNC Board of Governors, with the chancellor appointment at the recommendation of the UNC President.

Evaluation Policies

SPA Performance Management/Evaluation

The University's [Performance Management Policy for SPA Employees](#) is consistent with the performance management policy set by the Office of State Human Resources. The key program elements apply to all SPA employees.

Performance management is administered primarily at the school and division level. Local human resources representatives are responsible for ensuring that supervisors have completed work plans and performance appraisals as required by the Performance Management policy, as well as for ensuring that overall performance ratings are entered annually for their school/division staff.

The second-level supervisor (or appropriate designee) of each SPA employee is required by the policy to review the performance appraisals of each employee for appropriateness and consistency. The second-level supervisor's signature on the appraisal form indicates agreement with the assessment.

The Office of Human Resources sends a notice annually to University management (deans, directors, and department heads) and to school/division human resources staff regarding the annual performance appraisal process.

This communication reminds addressees of performance management requirements, appropriate timelines and procedures for the review process. The office also monitors the data entry process, contacts department HR representatives to ensure that missing ratings have been entered, and reports overall ratings for each employee annually to the Office of State Human Resources.

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Personnel Appointment

During their annual performance appraisal, SPA employees have [formal grievance](#) rights for any overall rating lower than “Meets Expectations” and can use other informal dispute resolution processes (for example, mediation) for other aspects of their evaluations.

Information about performance management for SPA employees is available through several long-standing [training programs](#) offered through the Office of Human Resources. The Office of Human Resources routinely offers targeted programs on performance management directly to campus departments and continues to develop additional Web-based resources for supervisors. Employee and Management Relations staff in the Office of Human Resources routinely provide individual consultations to supervisors on writing work plans and performance appraisals.

EPA Performance Management/Evaluation

Written [performance reviews](#) for EPA Non-Faculty employees are required on an annual basis. The EPA Non-Faculty Human Resources unit in the Office of Human Resources conducts a sample audit of annual performance evaluations for EPA Non-Faculty employees each year.

Faculty performance evaluation practices are governed by the policies of the UNC Board of Governors, the UNC-Chapel Hill Board of Trustees, the Office of the Executive Vice Chancellor and Provost, and individual schools. [These procedures](#) differ based on faculty tenure status. The Academic Personnel Office’s [policy on the review of non-tenured faculty](#) specifies that the unit head will meet with the faculty member annually to establish expectations, evaluate past performance, and assign duties for the next year. Tenure-track faculty are subject to the reappointment/promotion review schedules associated with their probationary appointments, as set out by [Board of Trustees’ policy](#). These reviews, which focus on the faculty member’s demonstrated professional competence and potential contributions, are initiated by the department chair in consultation with the unit’s professors.

The University’s [Post-Tenure Review Policy](#), established prior to 2000 and based on UNC Board of Governors’ policy, subjects each faculty member to post-tenure review no less often than every five years following the conferral of permanent tenure. Reviews must examine all aspects of a faculty member’s academic performance and involve faculty peers. Each school has developed written policies and procedures describing expectations for its faculty and the post-tenure review process. Unfortunately, it was discovered through in fall 2011, as reported in the Hartlyn-Andrews Review, that the College had exempted department chairs from that review. In response, on July 1, 2012, the College removed the exemption of department chairs from the post-tenure review process and instituted annual reviews of department chairs by the appropriate senior associate dean. In April 2013, the UNC Board of Governors adopted Regulation 700.6.1, Academic Integrity Regulations. The University’s post-tenure review policy and the College’s revised policy removing the exemption of department chairs is consistent with this regulation.

Additional and more comprehensive details concerning faculty review and evaluation practices are provided in the response to [Comprehensive Standard 3.7.2 \(Faculty Evaluation\)](#).

Administrative Managers in the College of Arts and Sciences

The following information is provided pursuant to the request to specifically address the “*application of ... policies to administrative staff at a parallel level to the administrative assistant in the former AFAM department.*”

The “administrative assistant” in the former AFAM department worked in the College of Arts and Sciences and had the working title of Administrative Manager. In CAS each department has an administrative manager. The administrative manager and department chair both serve as liaisons between the Dean’s Office and the department. In general, these employees are responsible for overseeing all or most business operations in their department or unit, including human resources, finance, and student services. The actual job classification for these employees varies based on the size, scope, and type of department or unit within CAS.

Administrative Manager Recruitment and Selection

Administrative managers in CAS are typically classified as SPA employees and are covered by SPA policies regarding recruitment and selection and employment as described above. In the College, at least one Dean’s Office HR or Finance employee must be included in interviews for department/administrative manager vacancies, effective 2011. (This practice was voluntary prior to that time.)

Administrative managers are provided with a [structured onboarding process](#) administered by the Dean’s Office. The onboarding program was revised in December 2012 to include [several components](#): orientation to the CAS Business Center, orientation to the Dean’s Office HR and Finance, [Manager Mentoring Program](#), Interim Manager Support Program, [Administrative Manager Reference Guide](#), and assistance with onboarding paperwork. In addition, administrative managers are encouraged to attend regular development opportunities, such as monthly informational meetings and brown bag lunches.

New Manager Orientation

The goal of the CAS New Manager Orientation program (which began circa 2012) is to provide a welcome to the organization and an overview of key CAS and University policies, procedures, and systems. The [orientation familiarizes employees with the College’s values and organizational structure](#). Managers are also directed to references such as the College-wide administrative calendar for meetings and deadlines, as well as to a [central Microsoft Outlook mailbox](#) with prior email messages sent to managers.

Interim Manager Support

To facilitate on-the-job training for new managers, the Dean’s Office offers hands-on training by a retired manager (an “Interim Manager”) that may be assigned to the department. This program began in 2013. Interim Manager support is part-time and typically takes place no more than one to two days per week. An Interim Manager may be assigned to the department for up to three months, depending on the department’s needs and the number of departments receiving support at any one time.

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Personnel Appointment

Manager Mentoring Program

The CAS Manager Mentoring Program was established in 2009 to match new managers with experienced managers and to provide guidance in navigating the systems on campus and in the College. The program was revised in 2012 and is managed by the Assistant Dean for the Business Center. New managers are paired with a mentor during their first month of employment. Mentors and mentees are invited to an [orientation meeting](#) hosted by the Dean's Office.

Monthly Meetings and Brown Bag Lunches

Monthly meeting topics for administrative managers alternate each quarter between finance, student service, and general business operation topics. Representatives from the CAS Dean's Office and speakers outside of the College provide updates and information on a variety of topics. Managers are encouraged to attend, monthly email reminders are sent to the managers, and meetings are documented on the CAS central administrative calendar, which all administrative managers have access to. [Minutes are also sent following most meetings](#). These meetings began in 2008.

The Senior Associate Dean for Finance and Planning in the College holds brown bag lunches at least quarterly and invites managers to discuss any topic. Managers are solicited for specific agenda items, so the agenda is essentially set by the managers to assist them with their professional development needs. This is an opportunity to network with other managers and provides an opportunity for feedback on any concerns they might have. Email reminders are sent regarding these lunch meetings and are documented on the [CAS central administrative calendar](#).

Administrative Manager Evaluation and Performance Management

Administrative managers in CAS are covered by SPA policies regarding performance management as described above. Within CAS, for at least the last five years, during the annual evaluation process, department heads have been required to submit the annual evaluation, competency assessment and work plan to the Dean's Office. The Dean's Office also provides consultation to the unit head in regard to any disciplinary concerns with the administrative manager.

Further, CAS department chairs receive training on the supervision and performance management of their administrative managers in the annual two-day [New Chairs' Orientation](#), which began in 2014. The College's Assistant Deans for Human Resources and Finance are available during the orientation to answer individual questions. Additional information on personnel management is provided in regular meetings of the chairs.

Next Steps

The Academic Personnel Office and the Office of Human Resources will monitor personnel management policies across the University to ensure consistent application and implementation of policies.

Conclusion

The University has well-defined personnel policies and procedures to ensure effective management. These policies are public, readily available to employees, and consistent with policies of the State and UNC General Administration. The department chair did not exercise proper oversight of the administrative manager. Rather, the two were in collusion. Even so, in the College of Arts and Sciences, administrative managers now receive additional education, evaluation and oversight to rectify the lack of such oversight that existed during the employment of the administrative manager in the former AFAM department.

References

[North Carolina Human Resources Act, North Carolina General Statutes Chapter 126](#)

[UNC-Chapel Hill Policy Development, Approval, and Publication](#)

[University and Administrative Policies website](#)

[UNC-Chapel Hill Office of Human Resources SPA Employee Policies](#)

[UNC-Chapel Hill Office of Human Resources EPA Non-Faculty Employee Policies](#)

[UNC-Chapel Hill Faculty Policies, Procedures & Guidelines](#)

[Example of Posting Request for Vacant SPA Position](#)

[Example of Posting of Vacant SPA Position in Computer Science](#)

[Example of Application for Employment for SPA Position](#)

[Reference Check Form for SPA Position](#)

[Background Check form](#)

[North Carolina General Statutes, Chapter 126-30](#)

[North Carolina General Statutes, Chapters 14-122.1](#)

[UNC-Chapel Hill EPA Recruitment and Selection Procedures](#)

[UNC-Chapel Hill Requirements for Search Committees](#)

[UNC-Chapel Hill Online Search Committee Training](#)

[SPA Permanent Employee Conditions of Employment](#)

[UNC-Chapel Hill Board of Trustees By-Laws, Appendix 1](#)

COMPREHENSIVE STANDARD 3.2.9

Personnel Appointment

[Performance Management Policy for SPA Employees](#)

[SPA Grievance Policy](#)

[SPA Performance Management Consultations and Training](#)

[EPA Non-Faculty Performance Evaluation Policy](#)

[UNC-Chapel Hill Policies, Procedures, and Guidelines for Faculty Appointments](#)

[Policy on Reviews and Performance Management for Untenured Faculty](#)

[Policy on evaluation of tenure-track faculty](#)

[Post-Tenure Review Policy](#)

[New Manager Onboarding Program Orientation Presentation](#)

[Resources for New Managers](#)

[Manager Mentoring Program Orientation Presentation](#)

[Administrative Manager Orientation and Reference Guide. Vol. 2.1, Revised November 2014](#)

[Sample Email from Manager's Central Mailbox](#)

[Managers Meeting Minutes and Presentations](#)

[UNC-Chapel Hill College of Arts and Sciences Central Administrative Calendar](#)

[New Chairs Orientation Presentation](#)

Comprehensive Standard 3.2.11 Control of Intercollegiate Athletics

SACSCOC Request for Information Related to this Standard

The institution's chief executive officer has ultimate responsibility for, and exercises appropriate administrative and fiscal control over, the institution's intercollegiate athletics program.

In the November 13, 2014 letter from SACSCOC, UNC-Chapel Hill was asked to explain and document the extent of its compliance with the "Comprehensive Standard 3.2.11 – Control of Intercollegiate Athletics" standard by addressing the following requests for information:

The institution is requested to provide information demonstrating how the Chancellor of UNC-Chapel Hill has responsibility for and exercises appropriate administrative and fiscal control over the institution's intercollegiate athletic programs. The administrative control includes accountability for the application of academic standards for athletes.

Summary

An institution's chief executive officer has ultimate responsibility for, and exercises appropriate administrative and fiscal control over, the institution's intercollegiate athletics program. The University recognizes it is essential that the Chancellor maintain full control, responsibility, and authority over intercollegiate athletics to ensure that Carolina's Department of Athletics is integrated into the University's mission and is in alignment and compliance with University academic policies and procedures.

This section of the response will confirm that the controls and oversight are in place to ensure the Chancellor exercises control and ultimate responsibility for the Department of Athletics.

- The University has acted repeatedly to ensure that the Department of Athletics is committed to academic excellence and integrity. The Athletics Department is fully engaged in the University's goals and mission and works collaboratively with faculty and administration.
- The Chancellor and other individuals and groups with responsibility for guidance and oversight of athletics continue to work collaboratively to improve upon the reforms made.
- Consistent with its commitment to transparency, the University makes available on the Carolina Commitment website updates and reports from the groups working on athletics reforms.
- The Chancellor has full authority and responsibility for the supervision of the University's intercollegiate athletics program, and has exercised that authority by reviewing and approving high-level personnel decisions, disciplinary actions, the departmental operating budget, and certain external contracts. The Chancellor has also demonstrated her full authority and

COMPREHENSIVE STANDARD 3.2.11

Control of Intercollegiate Athletics

responsibility by participating actively in NCAA compliance reviews and any associated investigations.

- To ensure that the Department of Athletics is fully engaged in the University's overall mission, the Director of Athletics is a member of the Chancellor's Cabinet and an active participant in the Strategic Implementation Group. In addition, the Academic Support Program for Student-Athletes (ASPSA) now resides under the Office of the Executive Vice Chancellor and Provost, who reports directly to the Chancellor.
- The University has acted repeatedly to ensure that its student-athletes are committed to academic excellence and integrity. For example, the University established the Student-Athlete Academic Initiative Working Group to develop a rigorous and transparent set of processes to promote academic success for student-athletes. Through the Complete Carolina initiative, the University also formalized its long-standing practice of honoring the scholarships of former student-athletes by facilitating their return to school to finish their degrees.
- Consistent with its commitment to transparency, the University makes available on the Carolina Commitment website updates and reports from the groups working on athletics reforms.
- The University is committed to hold the athletics department to the highest standards of integrity. The Chancellor and other individuals and groups with responsibility for guidance and oversight of athletics continue to work collaboratively to improve upon the work already done.

Actions

The Chancellor has full authority and responsibility for the establishment and supervision of UNC-Chapel Hill's intercollegiate athletics program. That authority is based on the UNC System Board of Governors' policy, and delegation of duties by the UNC-Chapel Hill Board of Trustees.

The Chancellor exercises administrative and fiscal control of athletics through oversight of its activities including approving strategic planning initiatives; hiring, supervising, and reviewing the performance of the Director of Athletics; reviewing and approving major athletics personnel actions and contractual agreements; reviewing and approving operating budgets; and receiving regular updates from the Director of Athletics regarding reviews and responses when compliance issues arise with the Atlantic Coast Conference (ACC) or National Collegiate Athletic Association (NCAA).

The Chancellor is responsible for appointing and meeting regularly with the Faculty Athletics Representative (FAR), who also serves as an ex officio member of the Faculty Athletics Committee (FAC), an elected standing committee of the Faculty Council. The Chancellor communicates regularly with the Director of Athletics on issues including those associated with academic and recruiting standards.

The Chancellor also attends monthly FAC meetings and consults with the committee chair as appropriate. The FAC is concerned with informing the faculty and advising the Chancellor about any aspect of athletics, including the academic experience of varsity athletes, athletic opportunities for

members of the University community, and the general conduct and operation of the University's athletics program. [See the response to [Comprehensive Standard 3.7.5 \(Faculty Role in Governance\)](#) for details about the Chancellor's interaction with faculty about athletics-related issues, as well as the work of other faculty committees in these areas.]

The Chancellor also interacts regularly with student-athletes and Department of Athletics staff on topics regarding intercollegiate athletics and student-athletes. Externally, the Chancellor is actively engaged with other college and university presidents and chancellors and the broader higher education community regarding conference and national intercollegiate athletics issues.

Since her arrival in July 2013, Chancellor Folt has worked to promote a campus culture that respects and upholds academic standards for all students, including student-athletes. She has made restoring the right relationship between athletics and academics -- and insisting that both maintain the highest standards of integrity -- a major priority of her administration.

Chancellor's Delegated Authority and Responsibility for Athletics

"The Code of the University of North Carolina," applicable to all constituent institutions of the UNC System, delegates to the Chancellor of each university the authority and responsibility for the "establishment and supervision of the institution's program of intercollegiate athletics ([Appendix 1, "Delegation of Duty and Authority to Board of Trustees," Article XIII](#))." Specific expectations regarding the Chancellor's responsibilities for the academic success and well-being of student-athletes and compliance with regulations are outlined in The UNC Policy Manual ([1100.1, "Intercollegiate Athletics"](#)).

UNC-Chapel Hill is an active member of Division I of the NCAA, which specifies standards for intercollegiate athletics and monitors appropriate institutional controls. In its most recent [certification report](#) to the NCAA (2005), the University documented its compliance with [Article 2.1.1 of the NCAA Constitution](#), which provides that "the institution's president or chancellor is responsible for the administration of all aspects of the athletics program, including approval of the budget and audit of all expenditures."

As a member of the ACC, UNC-Chapel Hill is obligated to comply with conference requirements regarding the Chancellor's role in the governance and organization of athletics. The University's Board of Trustees submits an [annual letter of certification](#) to the ACC stipulating that the Chancellor is responsible for the oversight of athletics. The results of UNC-Chapel Hill's [most recent four-year review](#) by the ACC Compliance and Governance staff (November 2011) reported that the University is organized such that "the Chancellor has the ultimate authority in matters involving the athletics department."

COMPREHENSIVE STANDARD 3.2.11

Control of Intercollegiate Athletics

Chancellor Exercises Appropriate Administrative and Fiscal Control Over the Institution's Intercollegiate Athletics Programs

Oversight of Department of Athletics Leadership and Management

The University's [organizational chart](#) demonstrates that the Director of Athletics reports directly to the Chancellor. The UNC Board of Governors' [Policy Manual](#) further stipulates that: "the Chancellors shall ensure that the position of Director of Athletics is separate and distinct from the position of a coach of any sport (1101.1)." The current Director of Athletics, Lawrence (Bubba) Cunningham, was hired in October 2011 by then Chancellor Holden Thorp; Cunningham reports directly to Chancellor Folt. As a direct report to the Chancellor, the Director of Athletics serves as a member of the Chancellor's Cabinet, and of sub-groups such as the Strategic Implementation Group, which meet four times each month. The Director of Athletics and the Chancellor have monthly one-on-one meetings and additional meetings as needed to discuss specific issues and developments.

The Chancellor conducts an annual performance review of the Director of Athletics, which is also consistent with the University's policies on the evaluation of all EPA Non-Faculty employees. The review specifically covers fiscal management; compliance with all applicable University, NCAA, and ACC rules and regulations; and academic performance of student-athletes. As part of this annual review, the Director of Athletics submits a written report to the Chancellor containing the following: highlights of the past year and ongoing challenges faced by the Department; initiatives underway designed to strengthen the Department's effectiveness; and plans for the upcoming year. See [Cunningham's June 30, 2014 email and report to the Chancellor](#).

With regard to other Department of Athletics' staffing and personnel issues, the Chancellor approves all head coach and certain designated assistant coach hires and contracts. The Chancellor is also directly involved in decisions related to disciplinary actions or the dismissal of head coaches and certain assistant coaches. During Director of Athletics Cunningham's tenure, the University has hired two head coaches – Larry Fedora as head football coach, and Harlis Meaders as head track and field/cross country coach. Both of these hires involved review and approval by the Chancellor at that time, Holden Thorp.

Consistent with [University policies on outside employment](#) and the NCAA Outside Income Declaration, the Chancellor's designee (in Chancellor Folt's case, her Chief of Staff) receives notice of and approves all personal contracts that coaches and athletics administrators have for external pay (for example, shoe and apparel contracts, individual multimedia contracts, and speaking engagements). The Chief of Staff, again as the Chancellor's designee, also approves select contracts between the Department of Athletics and external entities, such as its multimedia rights holder, shoe and apparel provider, and concessions partner.

In 2012, Director of Athletics Cunningham hired the law firm of Bond, Schoeneck & King to conduct a comprehensive assessment of the Athletics Department's compliance program. The assessment reviewed policies, procedures, monitoring mechanisms, and the general culture related to compliance that existed within the department. Chancellor Thorp participated in an interview as part of the

assessment process. At the completion of the comprehensive assessment, Bond, Schoeneck & King compliance consultant Christopher Schoemann delivered key findings in a meeting with the Director of Athletics and the Senior Associate Athletics Director in August 2012.

With Chancellor Thorp's support and direct involvement, the Director of Athletics initiated a comprehensive process in spring 2012 to develop a strategic plan for the future of intercollegiate athletics at UNC-Chapel Hill. The strategic plan, "[Carolina Leads](#)," was announced in January 2013. The plan's mission is "to educate and inspire through athletics" with key strategic emphasis on university alignment, academic achievement, athletic achievement, and administrative engagement. The plan provides for continual evaluation, measurement, and implementation. A nationally known professor of management and strategy from UNC-Chapel Hill's Kenan-Flagler Business School served as a consultant to the Department of Athletics in this multi-phase project. The process involved participants from many different stakeholder groups, including the entire Athletics Department staff, all coaches, the Educational Foundation, faculty, fans, alumni, and the general public.

In January 2013, also with the support of Chancellor Thorp, the Department of Athletics introduced a new Agent and Advisor Program. The program provides services to student-athletes and their families through educational programming on the transition to professional athletics, common mistakes made during the transition, and various strategies utilized by successful athletes. The University initiated this program as a process improvement following the 2012 NCAA violations concerning impermissible benefits provided to some student-athletes by agents. Senior administrators work alongside student-athletes and their families to facilitate a thorough exchange of information to help student-athletes make informed decisions at appropriate times. UNC-Chapel Hill has taken a national leadership role in working with the Uniform Law Commission, a nonprofit association, to strengthen the Uniform Athlete Agent Act and the protections it provides to both student-athletes and institutions.

Appropriate Fiscal Control Over Athletics Programs

The Chancellor reviews and approves the operating budget for the Department of Athletics. The Director of Athletics and the Senior Associate Director of Athletics for Business (who serves as the Chief Financial Officer for the department) develop a detailed budget proposal for the next fiscal year and submit it to the University's Accounting Services Department, a central administrative office that reports to the Vice Chancellor for Finance and Administration. The Vice Chancellor, who reports directly to the Chancellor, reviews and approves budget proposals before submitting them to the Chancellor for final approval. A public accounting firm also conducts annual audits of the Department of Athletics' operations and prepares a report for the Chancellor and the Vice Chancellor for Finance and Administration. The Department of Athletics also receives funding from the [Educational Foundation](#), Inc. a 501(c)(3) organization that is separate from the University. Better known as the Rams Club, the Educational Foundation supports the Department of Athletics by raising funds for capital improvements and student-athlete scholarships. As an associated entity, the Educational Foundation acts under rules established by the UNC Board of Governors, which requires the foundation to prepare an [annual audit](#). The Chancellor reviews the audit and presents it to both the UNC-Chapel Hill Board of Trustees and the UNC System Board of Governors.

COMPREHENSIVE STANDARD 3.2.11

Control of Intercollegiate Athletics

The Educational Foundation's by-laws stipulate that its Board of Directors consists of 21 voting members, including one director appointed by the Chancellor. The University's Director of Athletics and Faculty Athletics Representative are ex officio non-voting members of the Foundation's Executive Board of Directors. The by-laws also stipulate that at least two current members of the UNC-Chapel Hill Board of Trustees will be voting members of the Educational Foundation's Board of Directors.

The Chancellor reviews and approves all plans to renovate or construct major athletics facilities before they are presented to the Board of Trustees for final approval. For example, Chancellor Thorp was directly involved in decisions concerning the development of the [Loudermilk Center for Excellence](#), a \$70 million renovation adjoining the Kenan Football Stadium, which was completed in 2011. This facility houses the Academic Support Program for Student-Athletes, offices for the Baddour Carolina Leadership Academy, the student-athlete development staff, the business and finance division of the Department of Athletics, the strength and conditioning center, locker rooms, and premium seating for fans. Chancellor Thorp required the Department of Athletics to have a sound financial plan in place before the project was approved, and tabled the start of the project for a year until an acceptable financial plan was presented and approved by the Board of Trustees.

Administrative Control Over Compliance Issues

The Chancellor takes a leadership role in compliance-related issues, consistent with UNC system policies that require the compliance office have a reporting relationship with the Chancellor's Office. Chancellor Folt exercises ultimate institutional authority over compliance-related issues, consulting with the UNC-Chapel Hill Board of Trustees, the Athletics Director, the Faculty Athletics Representative, or any member of the Chancellor's Cabinet about any NCAA or ACC issue.

Participation in Regularly Scheduled Compliance Reviews

The Chancellor signs the annual [NCAA Certification of Compliance for Institutions](#) on behalf of the University. The certification affirms that the Chancellor personally meets with the athletics department staff to promote a culture of compliance regarding NCAA bylaws and regulations.

In addition, the Chancellor will play an active role in the upcoming NCAA Institutional Performance Program (IPP), which will eventually replace the current NCAA Certification process that has been in place for the past 20 years. The IPP will require member institutions to complete a verified and external peer-reviewed institutional self-study at least every 10 years. The data to be collected for the IPP review will include academics, fiscal management, athletics department demographic information, and student-athlete opportunities and well-being. The NCAA has not yet released the timetable for UNC-Chapel Hill's IPP review.

Chancellor Thorp participated in the [November 2011 ACC compliance review](#), which is a formal, comprehensive review of all aspects of the Department of Athletics conducted every four years. Beginning in 2013, the ACC engaged the Compliance Group (TCG) to conduct institutional compliance reviews. The TCG conducts a comprehensive review of the critical areas of NCAA compliance, in addition to a review of the institution's history of secondary and major violations. The TCG will conduct UNC-Chapel Hill's next review during the 2015-2016 academic year.

In addition to involvement in formal review processes, the Chancellor has ongoing compliance-related duties. For example, the Chancellor is responsible for [approving the procedures for certifying the eligibility of the University's student-athletes](#) under NCAA bylaws. These procedures are implemented under the oversight of the Director of Athletics and the [University Registrar](#).

Chancellor's Role in University Responses to Compliance Issues

The Director of Athletics is required under the terms of his or her employment to inform the Chancellor immediately about any self-reported violations to the NCAA or ACC. Thereafter, the Chancellor remains involved in these or any other external investigations of UNC-Chapel Hill's intercollegiate athletics program through regular reports and updates from the Director of Athletics and the Faculty Athletics Representative.

Chancellor Thorp was actively engaged in the NCAA's previous investigation of the University's football program. He appointed the University's internal investigation working group, which participated in a joint investigation with the NCAA enforcement staff. He [led the University's delegation that appeared before the NCAA Infractions Committee](#) in October 2011.

The [NCAA Public Infractions Report](#) (released March 12, 2012) indicated that neither the NCAA Enforcement staff nor the Infractions Committee found a lack of institutional control over intercollegiate athletics at UNC-Chapel Hill as part of the investigation. The report concluded that *"It [the University] cooperated fully, is not a repeat violator and, although there is a finding of failure to monitor, the institution exhibited appropriate control over its athletics program."*

Chancellor Folt has been fully involved in the reopened joint investigation with the NCAA examination of academic irregularities, which began in June 2014. In addition to the Chancellor, the Office of University Counsel and outside counsel, the Faculty Athletics Representative, the Athletics Compliance Office, and the Director of Athletics have all been thoroughly engaged and informed throughout the process.

Administrative Control and Accountability for the Application of Academic Standards for Student-Athletes

The Chancellor regularly receives a variety of reports from internal and external sources covering the academic progress of student-athletes. Examples include reports produced by the NCAA for all institutions covering the Academic Progress Rate (APR), the Graduation Success Rate (GSR), and the aggregate Federal Graduation Rate (FGR). (The University's Faculty Athletics Committee also reviews these reports and data.)

Under UNC Board of Governors' policy, the Chancellor and the board of trustees for each campus (including UNC-Chapel Hill) must review and approve an annual Intercollegiate Athletics Report prior to its submission to UNC General Administration. The report contains basic statistical data on admissions and degree completion rates for student-athletes. Recently revised reporting criteria added information about the academic activities of student-athletes, athletics department budgets, information about the Educational Foundation, Inc. (including finances), and academic integrity.

COMPREHENSIVE STANDARD 3.2.11

Control of Intercollegiate Athletics

Those changes reflected changes to UNC System policies or regulations. See [UNC-Chapel Hill 2013-14 Intercollegiate Athletics Report](#).

For example, the most recent report requires a summary of the campus review process for evaluating possible irregularities based on the 20% threshold for student-athlete enrollment in a course. Classes reviewed in 2013-2014 were found to have no irregularities.

Based on UNC System regulations, the Chancellor also is required to review and approve certain special-talent admissions. [Refer to [Comprehensive Standard 3.4.3 \(Admissions Policies\)](#) for details about how the Chancellor exercises oversight of athletics admissions.]

The University's Honor Code applies to all students, including student-athletes. The Department of Athletics receives reports of allegations of academic misconduct by student-athletes from the Office of Student Conduct and subsequently supports the campus Honor Court process. The Director of Athletics and other appropriate parties are kept informed about cases before the Honor Court.

New Initiatives Under Chancellor Folt's Leadership

When Chancellor Folt arrived on campus in July 2013, she immediately began working with Executive Vice Chancellor and Provost James W. Dean, Jr. to ensure that every process related to athletics was in proper alignment with the University's academic mission.

Student-Athlete Academic Initiative Working Group

As a result, in August 2013 Provost Dean and Athletics Director Cunningham launched the [Student-Athlete Academic Initiative Working Group](#). As co-chairs, Dean and Cunningham lead a 10-person team of faculty and administrators tasked with examining all academic processes that affect student-athletes while at the University. At the same time, process improvement initiatives were already under way in the Office of Undergraduate Admissions and the Academic Support Program for Student-Athletes (ASPSA).

The significant academic reforms put in place prior to Chancellor Folt's arrival have continued. The Working Group, created as part of her vision for how the University should be moving forward on issues related to student-athletes, is developing a rigorous and transparent set of processes to promote academic success for student-athletes. The goal is to ensure that every procedure and policy helps student-athletes achieve their fullest potential -- academically, athletically, and personally.

The Working Group seeks to:

- Document and understand all student-athlete academic processes,
- Assess these processes,
- Make necessary changes,
- Promote transparency in the communication of these processes, and
- Restore confidence in these processes.

Chancellor Folt regularly monitors the progress of the Working Group, which conducts its meetings transparently. Meetings of the Working Group are open to the public, and news media representatives regularly attend. The Chancellor also provides public updates to the campus community. The Working Group has articulated the following principles to guide its efforts:

1. UNC-Chapel Hill is committed to providing a rigorous and meaningful education to every student; this includes supporting and encouraging students to participate fully in campus life, prepare themselves for life after college and develop their potential.
2. All students should be permitted and encouraged to take full advantage of the rich menu of educational opportunities at UNC-Chapel Hill and to pursue educational experiences appropriate to their interests, ambitions and capabilities.
3. Anyone offered admission to UNC-Chapel Hill must demonstrate the capacity to fully benefit from a UNC-Chapel Hill education and to earn a UNC-Chapel Hill degree. Every candidate must be evaluated rigorously, individually and comprehensively.
4. Academic integrity is inviolable. It is never acceptable for a student, University support staff or unit to compromise the integrity of the education, research and service mission of the University.
5. Respect for students – for their achievements and potential, and above all for their humanity – is also inviolable.
6. The policies governing student-athletes' academic lives at UNC-Chapel Hill should be transparent and documented.

In its first year, the Working Group identified and implemented several reforms. As one example, the University has begun testing some incoming student-athletes during spring campus visits to properly assess their learning needs and identify any potential learning disabilities. The previous practice was to begin this testing in the summer, just before the start of the fall semester, which meant that sometimes students identified with disabilities did not receive accommodations until after the beginning of the semester.

Other Working Group efforts include reviewing the new admissions standards for special-talent student-athletes [See response to [Comprehensive Standard 3.4.3 \(Admissions Policies\)](#)], which were implemented for first-year students entering in 2013, and improving orientation for incoming student-athletes by emphasizing academic preparation.

In all, the Working Group has identified and is reviewing 21 academic processes including recruitment, admissions, financial aid, and advising. At this writing, the Working Group has reviewed 19 of these processes. Four faculty committees and one student-athlete committee have reviewed and provided their responses to the documentation of these processes. The Working Group's review will continue throughout the spring 2015 term. When complete, the resulting final report will be made publicly available on the [Carolina Commitment website](#).

COMPREHENSIVE STANDARD 3.2.11

Control of Intercollegiate Athletics

The Working Group also continues to review recommendations from the previous internal and external reviews and investigations conducted or commissioned by the University, which assessed the intersection of athletics and academics. These include the Hartlyn-Andrews, Martin, and Rawlings panel reports. The Working Group is developing a response to every recommendation in every report as it relates to each of the 21 processes. These responses also will be shared on the Carolina Commitment website.

Chancellor Folt Receives Rawlings Panel Report

In September 2013, the University released a [report](#) completed by a panel of distinguished national leaders in higher education and athletics chaired by Dr. Hunter Rawlings, president of the Association of American Universities. Chancellor Thorp commissioned the report at the suggestion of a faculty committee and asked the panel for recommendations about the role of athletics in campus life. The panel convened a [roundtable discussion on campus in spring 2013](#) as the kickoff to its work.

Chancellor Folt worked directly with President Rawlings just weeks after her arrival to receive the report and direct the University's response to it. The panel offered 28 recommendations for UNC-Chapel Hill and other American universities and colleges on the role of athletics in campus life, and suggested developing a consortium of universities to address issues facing athletics. It is important to note that the panel acknowledged that it did not take into account existing University policies, practices, and current initiatives relevant to its recommendations.

In reviewing the panel's recommendations, the University's leadership team concluded that the campus had strong processes, strategies, and current initiatives in place that addressed most of the panel's recommendations in the areas of governance, academics, and admissions. Some were long-standing practices (discussed throughout this response). Some resulted from the Department of Athletics' strategic plan, "Carolina Leads," and the then newly launched Student-Athlete Academic Initiative Working Group mentioned above. Other recommendations, especially those with national implications, merited further consideration on campus and with ACC and national peers. University leaders strongly believe in the importance of auditing and evaluating these processes regularly, as suggested by the panel.

The panel's recommendations provided additional impetus for the Chancellor's engagement in dialogue with colleagues at both the national (AAU and NCAA) and conference (ACC) levels, in addition to sparking more conversations among the campus community, including the Faculty Council and the Faculty Athletics Committee. The Rawlings Panel recommendations have also been publicly reviewed by the Working Group. A response to each recommendation will be included in the Working Group's final public report.

Carolina Announces Wainstein Investigation

In February 2014, Chancellor Folt and UNC President Thomas W. Ross commissioned an independent inquiry of academic irregularities, based on new information that had recently become available. Ross and Folt retained Kenneth L. Wainstein, a former federal prosecutor, and his firm Cadwalader, Wickersham & Taft LLP, to conduct the investigation. [Refer to [the response to Standard 1.1](#) (Principle of

Integrity) for details about what led to the decision to retain Wainstein.]

[Chancellor Folt and President Ross instructed Wainstein](#) to share relevant information directly and confidentially with the NCAA. His October 2014 report confirms that he did so. In June 2014, the NCAA [reopened its 2011 investigation](#) after determining that additional people with information and others (who were previously uncooperative) might now be willing to speak with the NCAA enforcement staff.

The decision to retain Wainstein and launch another investigation of academic irregularities, and the decision to charge Wainstein with ensuring that his investigation was completely independent of the University, together are consistent with the understanding that the Chancellor is ultimately responsible for, and exercises appropriate control over, over the entire mission and enterprise, including the University's intercollegiate athletics program.

Chancellor Folt Announces *Complete Carolina* Initiative

In July 2014, Chancellor Folt and Athletics Director Cunningham announced to the Board of Trustees the creation of [Complete Carolina](#), an enhanced program that honors former student-athletes' scholarships for completion of their degrees. This program, which began in September 2014, provides financial support for degree completion (as well as academic advising and career counseling) to former student-athletes who return to complete their degrees. For former student-athletes who withdrew from the University in good academic standing, Complete Carolina provides financial support commensurate to their scholarship. Returning students receive comprehensive academic advice and career planning before, during, and after their return. Individual plans for former student-athletes are being developed to maximize each student's success on campus, similar to the recently implemented MAP (My Academic Plan) program for current student-athletes. [Refer to the response to [Comprehensive Standard 3.4.9 \(Academic Support Services\)](#) for additional details about the MAP program.]

Strong Commitment to Communication and Transparency

Chancellor Folt communicates regularly with the campus community about athletics-related issues. As part of her commitment to transparency, Chancellor Folt directed and oversaw the launch in April 2014 of the [Carolina Commitment website](#), to house information related to past reviews, current reforms, ongoing work and future plans. (Carolina Commitment replaced a similar Academic Review website created in fall 2012.) The Chancellor especially communicated regularly during 2014 regarding the academic irregularities that were the subject of the Wainstein Report.

This website, subtitled "Our Commitment: Taking Action and Moving Forward Together. A Guide to Review, Response and Reform at the University of North Carolina at Chapel Hill," has anchored the University's extensive efforts to keep students, faculty, staff, alumni, friends, and the general public informed about the ongoing work to ensure academic irregularities do not happen again at UNC-Chapel Hill.

COMPREHENSIVE STANDARD 3.2.11

Control of Intercollegiate Athletics

Ongoing Initiatives Related to Administrative Control and Accountability for the Application of Academic Standards for Student-Athletes

Chancellor Folt engages regularly with campus committees and other constituents charged with guidance and monitoring of intercollegiate athletics. Examples of the Chancellor's relationships with these individuals and groups, and the ways in which they work collaboratively to ensure appropriate oversight of athletics, are described below.

Faculty Athletics Representative

The Chancellor appoints, meets regularly with (usually monthly), and reviews the performance of the [University's Faculty Athletics Representative](#) (FAR). Because of the FAR's links to faculty, student-athletes and the Director of Athletics, this representative is a critical source of information and advice for the Chancellor in carrying out her oversight responsibilities.

The Chancellor and the FAR interact substantively on a wide range of issues. Recent examples include UNC-Chapel Hill's preparation for and response to the Wainstein Report, including incorporating faculty participation in the University's continuing eligibility review for student-athletes.

As a result, in October 2014, Chancellor Folt announced the University will add faculty to the group that reviews student-athlete eligibility and progress toward degree as part of the University's response to the Wainstein Report. The FAR and two members of the Faculty Athletics Committee have met twice since October 2014 with the eligibility review team to discuss the best ways to incorporate faculty perspectives into the eligibility review process. The FAR has also begun to convene meetings every other week with ASPSA counselors, the director of compliance, and personnel from the registrar's office for information and education on issues related to eligibility.

Other important topics of discussion between the Chancellor and the FAR have included the University's participation in the reopened joint investigation with the NCAA of the academic irregularities reviewed in the Wainstein Report; the University's positions and votes on ACC positions and NCAA legislation; and reviews of other developments related to intercollegiate athletics, including recent litigation against the NCAA. Additional examples include the admissions profiles of admitted student-athletes; input on the design of the Complete Carolina program, incorporating student-athletes into the University committees advising on student-athlete issues; and discussing recommendations made by the Student-Athlete Academic Initiative Working Group.

The FAR communicates regularly (usually monthly) with the Director of Athletics and his staff about issues in these areas: academic standards (including the Academic Progress Rate, an NCAA measure of eligibility and retention, and the Graduation Success Rate); student-athlete well-being; compliance with ACC and NCAA rules; the ongoing joint investigation with the NCAA of academic irregularities also reviewed by the Wainstein Report; ACC conference positions; NCAA legislation; and the Academic Support Program for Student-Athletes. The Chancellor receives feedback from the FAR about meetings of the Student-Athlete Advisory Council (SAAC), which the FAR and the FAC members are invited to attend regularly. The FAR also reports to the Chancellor about FAC focus group interviews with individual members of the SAAC.

Other opportunities for the FAR to support the Chancellor's involvement in student-athlete academic issues come from their joint membership on the Faculty Athletics Committee. The FAR makes an [annual presentation to the Faculty Council](#) (which the Chancellor jointly presides at with the Chair of the Faculty) to share current and emerging issues related to student-athletes. [More information on the role of the FAR can be found in the response to [Comprehensive Standard 3.7.5 \(Faculty Role in Governance\)](#)].

The Academic Support Program for Student-Athletes

The Academic Support Program for Student-Athletes (ASPSA) plays an important role in the University's oversight of intercollegiate athletics. This unit, which was formerly a component of the Center for Student Success and Academic Counseling (CSSAC) in the College of Arts and Sciences, was placed under the Office of the Executive Vice Chancellor and Provost, the University's chief academic officer in May 2013. The director of ASPSA serves as an assistant provost and reports directly to the Executive Vice Chancellor and Provost; through the director, all employees in the ASPSA report to the Provost. The Provost regularly discusses ASPSA activities and needs with the Chancellor.

Next Steps

The Chancellor expects to receive the final report of the Student-Athlete Academic Initiative Working Group in spring 2015, and it will provide direction for continuing or revising current policies or developing new ones related to the student-athlete experience.

Conclusion

This section of our report illustrates how the Chancellor exercises administrative and fiscal control over the athletics program at UNC-Chapel Hill. This control is operationalized through the approval and reviews related to personnel, finances, and strategic planning, as well as the relationship with and review of the Athletics Director and the Faculty Athletics Representative. External reviews by the NCAA, the ACC, and the UNC General Administration ensure that the Chancellor is fulfilling this oversight responsibility. The open lines of communication and collaboration encouraged with faculty, students, the admissions office, and other administrative and academic units, governing bodies, and athletics personnel provide the Chancellor with information for decision-making and evaluation of the athletics program at the University.

References

[Appendix 1, "Delegation of Duty and Authority to Board of Trustees," Article XIII](#)

[UNC Policy Manual, 1100.1, "Intercollegiate Athletics](#)

[2004-2005 NCAA Certification Report](#)

[NCAA Constitution, Article 2.1.1](#)

COMPREHENSIVE STANDARD 3.2.11

Control of Intercollegiate Athletics

[ACC Annual Letter of Certification](#)

[ACC Compliance Review Report, November 2011](#)

[UNC-Chapel Hill Department of Athletics Organizational Chart](#)

[UNC Board of Governors' Policy Manual](#)

[Director of Athletics End-of-Year Report to the Chancellor](#)

[UNC-Chapel Hill Policy on External Professional Activities of Faculty and Other Professional Staff on Outside Employment](#)

[Carolina Leads](#)

[Educational Foundation Website](#)

[Educational Foundation Financial Statements \(2013\)](#)

[Loudermilk Center for Excellence Website](#)

[NCAA Certification of Compliance, 2004-2005](#)

[ACC Compliance Review Report, Certificate of Athletics Eligibility Procedures](#)

[NCAA Certification Guidelines, Office of the University Registrar](#)

[Statements about UNC-Chapel Hill Appearance at the NCAA Committee on Infractions](#)

[NCAA Public Infractions Report, March 2012](#)

[UNC-Chapel Hill 2013-14 Intercollegiate Athletics Report, October 2014](#)

[Student-Athlete Academic Initiative Working Group Announcement](#)

[Carolina Commitment Website](#)

[Report of the Rawlings Panel on Intercollegiate Athletics at UNC-Chapel Hill, August 2013](#)

[Message from Chancellor Folt, 2014](#)

[Statement from UNC-Chapel Hill Athletics Director Cunningham](#)

[Complete Carolina](#)

[UNC-Chapel Hill Faculty Athletics Representative Position Description](#)

[Report of the Faculty Athletics Representative for 2013-14](#)

Comprehensive Standard 3.4.3 Admissions Policies

SACSCOC Request for Information Related to this Standard

This standard expects an institution to publish admissions policies that are consistent with its mission. Further, admission policies are designed to ensure that students who are admitted to the institution or to a specific program can benefit from the institution's programs. Implicit in the policies is that the institution consistently applies the policies to all applicants, transfers; exceptions are limited in number and based on specific criteria for waiving admission requirements.

In the November 13, 2014, letter from SACSCOC, the University of North Carolina at Chapel Hill was asked to explain and document the extent of its compliance with this standard by addressing the following specific requests for information:

The institution is requested to provide its admissions policies with particular emphasis given to "special admits." Provide the composition and role of the 'Committee on Special Talents,' along with the reporting line for this committee. In addition, the institution should provide information on how many students who enrolled in the aberrant courses were admitted through this process. Specify the number of students that are currently enrolled through the "special admits" process. Disaggregate student athletes and non-student athletes and the programs/majors in which they are enrolled.

Summary

Admissions policies must be published and consistent with the University's mission, and they must be designed to enable students who are admitted to an institution to benefit from its academic programs. This section of our response will demonstrate that our admissions policies and procedures are both transparent and aligned with our mission as a public research university. This section will also demonstrate that our program for students admitted on the basis of special talent — which has been repeatedly strengthened since 2011, and whose current state was shared with the Special Committee in April 2013 — is consistent with the University's broad admissions policy and designed to identify students who are capable of benefiting from our academic programs.

- The University's admissions policies are carefully designed to admit students whose collective strengths will foster excellence within the University community and contribute to the University's mission.
- All students, including those admitted based on special talent, are subject to a rigorous admissions process consistent with the University's integrity and commitment to student success. To ensure academic integrity, no student is admitted unless she or he is found to be likely to perform satisfactorily in the undergraduate curriculum.

COMPREHENSIVE STANDARD 3.4.3

Admissions Policies

- The University's admissions process is transparent: its policies and procedures, as well as annual reports are published on the admissions office website and presented regularly to Faculty Council.
- The University continually evaluates its admissions policies and procedures and takes action to strengthen them; these improvements are grounded in evidence and designed to enhance the individualized evaluation afforded to each candidate and to foster the success of the students who enroll.

Actions

The University's admissions policies and procedures are consistent with its mission as a public research university. The Office of Undergraduate Admissions has the final decision-making authority for all candidates for undergraduate admission, including those who intend to participate in intercollegiate athletics. The faculty advises the admissions office through a committee structure established by the Faculty Council. The policies and procedures regarding the admission of student-athletes have been repeatedly strengthened since 2011. Detailed information about admissions decisions, including those involving student-athletes, are reported annually and publicly.

Admissions Policies

The University's admissions policies and procedures derive from three sources: the Board of Governors of the University of North Carolina System; the Board of Trustees of UNC-Chapel Hill; and the Advisory Committee on Undergraduate Admissions, a Faculty Council committee chartered by the Faculty Code of University Government.

Board of Governors of the University of North Carolina System

The UNC Board of Governors specifies minimum undergraduate course and admission requirements, as well as the limited circumstances under which exceptions to these minimum requirements may be made. As outlined in the UNC Policy Manual, [700.1.1](#), the minimum course requirements currently include:

- four course units in English,
- two course units in a language other than English,
- four course units in mathematics, including one course for which Algebra 2 (or its equivalent) is a prerequisite,
- three courses units in science, to include one life or biological science, one physical science, and at least one science with a laboratory component, and
- two course units in social science, to include at least one unit of United States history.

Also as outlined in [700.1.1.I](#), the minimum admissions requirements currently include:

- either 800 on the SAT (Critical Reading and Math combined) or 17 composite on the ACT, and
- a high-school grade-point average of 2.5.

By policy, the chancellor of a constituent university in the UNC System may grant exceptions to these minimum requirements. Such exceptions are limited to 1% of the total number of applicants admitted as new first-year students each year.

The Board of Governors has authorized the President of the UNC System to establish regulations to implement the minimum course and admissions requirements. These regulations, outlined in [700.1.1.1\[R\]](#), specify the conditions under which certain students, including those “who demonstrate special talents,” may receive “special consideration” where minimum requirements are concerned. The regulations stipulate that any student who receives such consideration for not having met the requirement for the fourth unit of mathematics “will have 12 months from the first day of the first semester of the first year to fulfill the [math] requirement.” In addition, the regulations state that any student “who does not have the unit in U.S. history may be admitted on the condition that at least three semester hours in that subject will be passed by the end of the sophomore year” of university study.

Finally, the regulations require that each constituent university “establish a policy for the admission of students requiring special consideration with regard to campus-based admissions criteria.” This policy must “describe the process for admitting students requiring special consideration and must include faculty participation in the decision making process.”

Although the Board of Governors does not currently require the constituent universities to report in detail on special admissions, it does require a detailed annual report about intercollegiate athletics that includes information about athletics admissions. In [the most recent report](#), UNC-Chapel Hill reported that all student-athletes who enrolled in 2013-2014 met the system’s minimum course requirements and that four did not meet the minimum admissions requirements. In accordance with system regulations, these four students were evaluated through a process that involved the Committee on Special Talent, a faculty committee whose composition, role, and reporting line are described below. Also in keeping with system regulations, all four were reviewed and approved by Chancellor Folt. The University expects that all students who enroll in 2015 will meet the minimum admissions requirements established by the Board of Governors.

Board of Trustees of the University of North Carolina at Chapel Hill

The UNC-Chapel Hill Board of Trustees maintains a “[policy of competitive admissions](#)” in which applicants are:

“selected on the basis of a) recognition of the institution’s special responsibility to residents of North Carolina and b) the institution’s judgment of the applicant’s relative qualifications for satisfactory performance in the specific school, department, or curriculum, or other program to which the applicant seeks admission.”

COMPREHENSIVE STANDARD 3.4.3

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Trustee policy also states that, “this policy of competitive admissions shall not prevent the admission of selected applicants ... who give evidence of possessing special talents for University programs requiring such special talents.” The policy does not otherwise define or refer to “special admits.”

Trustee policy assigns responsibility for the admission of all degree-seeking undergraduate students to the [Office of Undergraduate Admissions](#). In applying the trustee policy mandate that admissions be competitive and also recognize the University’s responsibility to residents of North Carolina, the admissions office conducts two concurrent competitions for admission: one for resident students and a second for non-residents. In evaluating a candidate’s capacity for satisfactory academic performance, the admissions office does not consider prospective students in light of the academic requirements of any specific major. Rather, because all first-year students enroll in the College of Arts and Sciences and have two years to declare their majors and because first-year candidates frequently change their intended majors between the time they apply for admission and the time they graduate, the admissions office considers the likelihood of satisfactory performance in the undergraduate curriculum more generally.

By trustee policy, the admissions office is required to “apply policies and procedures that, not inconsistent with policies adopted by the Board of Trustees, are approved by the Advisory Committee on Undergraduate Admissions.”

Advisory Committee on Undergraduate Admissions

The [Advisory Committee on Undergraduate Admissions](#), which is appointed by the Chancellor, is a standing committee of the Faculty Council. As defined in [§ 4-24](#) of the [Faculty Code of University Government](#), the committee consists of 11 voting members. Voting members must include three deans, the head of academic advising in the College of Arts and Sciences, and seven faculty members who instruct undergraduate students, at least five of whom hold primary appointments in the College of Arts and Sciences.

The *Faculty Code* stipulates that the Advisory Committee “serves in an advisory capacity to the director of undergraduate admissions.” In this role, the committee “addresses the design and application of admissions policy, recommends guidelines for special talent and exceptional admissions, and monitors and responds to the national college admissions environment.”

By code, the Committee meets at least once each semester, or more often upon request by the chair, who is responsible for calling meetings when requested by the director of undergraduate admissions. In practice, the Committee typically meets twice each semester (four times each academic year).

The Advisory Committee reports annually and publicly to the Faculty Council. The [2012-2013 report](#), presented on April 25, 2014, includes a detailed discussion of athletics admissions. (This report has also been posted on the [Carolina Commitment](#) website.) Highlights from this report are included below. Previous annual reports of the Advisory Committee are available [here](#).

During the 2013-2014 academic year, the [Faculty Committee on University Government](#) reviewed the governance and membership of the Advisory Committee. The [review](#) confirmed the Advisory

Committee as an appointed (rather than elected) committee of the faculty. It also confirmed the prerogative of the committee to convene and charge additional committees under its purview.

In implementing the advisory role assigned by trustee policy, the Advisory Committee has approved a [Statement on the Evaluation of Candidates](#). This statement forms the basis for the [description of admissions requirements](#) that appears in the 2014-15 [Undergraduate Bulletin](#).

The Statement on the Evaluation of Candidates begins by grounding the aims and practices of the admissions office in the broad mission of the University:

“In evaluating candidates for undergraduate admission, the University of North Carolina at Chapel Hill seeks to shape the entering class so that its collective strengths will foster excellence within the University community; enhance the education of everyone within it; provide for the leadership of the educational, governmental, scientific, business, humanistic, artistic, and professional institutions of the state, nation, and world; and enrich the lives of all the people of North Carolina.”

As echoed in the [description of admissions requirements](#) in the 2014-15 [Undergraduate Bulletin](#), the statement commits the University to a process of comprehensive and holistic review:

“The University evaluates individual candidates rigorously, holistically, and sympathetically. The admissions committee seeks to assess the ways in which each candidate will likely contribute to the campus community and enable the University to fulfill its mission. The qualities we seek include intellect, talent, curiosity, and creativity; leadership, kindness, and courage; honesty, perseverance, perspective, and diversity. Although we expect each successful candidate to demonstrate strength in many of these areas, we do not expect every candidate to be equally strong in all of them. Just as there is no formula for admission, there is no list of qualities or characteristics that every applicant must present.”

In evaluating each candidate’s academic record, the admissions committee considers not only the student’s grades, but also the difficulty of the courses attempted. Although each candidate’s academic record and standardized test scores are important elements in the admissions decision, the candidate’s essays, accomplishments outside the classroom, and personal qualities are also carefully considered.

In addition to the *Statement on the Evaluation of Candidates*, the Advisory Committee has approved [Guidelines for Standardized Testing](#) that define how the Office of Undergraduate Admissions is to use such testing in evaluating prospective students. Under these guidelines, the office may use “no cutoff or threshold scores—that is, no scores below which candidates are automatically denied admission, and no scores above which they are automatically offered admission;” rather, the office must consider test scores as “one factor among many” in the comprehensive and individualized assessment afforded to each candidate. The guidelines also specify which scores are to be used by the admissions office, when scores must be reviewed for possible irregularities, and how the admissions office must respond if irregularities are discovered.

Like the Statement on the Evaluation of Candidates, the Guidelines for Standardized Testing form the basis for the [description of admissions requirements](#) in the 2014-15 [Undergraduate Bulletin](#). The policies and procedures described above apply to every candidate for undergraduate admission.

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The Office of Undergraduate Admissions, through a [policies link](#) on its website, provides access for prospective students to all of these policies and procedures, as well as access to the charge, membership, and annual reports of the Advisory Committee.

In keeping with trustee policy regarding candidates who “give evidence of possessing special talents for University programs requiring such special talents,” the Advisory Committee has approved athletics, dramatic art, and music as three such programs and has allocated a maximum of 200 spaces in the entering first-year class for this purpose: 160 for athletics and 20 each for dramatic art and music. Representatives of these programs identify students for consideration and recommend them to the Office of Undergraduate Admissions. The admissions office assesses these students individually and comprehensively and determines whether they can be admitted competitively — that is, without regard to special talent — within the relevant resident or non-resident applicant pool. Students who are judged to be competitive are offered admission and do not count among the special-talent spaces.

Special-talent candidates who are not judged to be competitive within their respective applicant pools may still be admitted, provided they are found likely to perform satisfactorily in the undergraduate curriculum at the University. All such candidates are assessed individually and comprehensively by the admissions office for their likelihood of succeeding academically, using guidelines for special-talent admissions established by the Advisory Committee. These guidelines, inscribed within the [charge and procedures of the Committee on Special Talent](#), refer explicitly to the Statement on the Evaluation of Candidates and its emphasis on “comprehensive and individual evaluations” of all candidates, as well as to the trustee policy on the admission of students with special talent. Under these guidelines, the admissions office may directly admit special-talent candidates provided they (1) have predicted first-year grade-point averages of 2.3 or higher; (2) fulfill all minimum course and admissions requirements of the public university system, and (3) meet the same community standards for behavior required of all successful candidates for admission. No special-talent candidate who fails to meet any of these expectations may be offered admission unless the student is first reviewed and recommended by the Committee on Special Talent.

Committee on Special Talent

The Advisory Committee on Undergraduate Admissions has convened a [Committee on Special Talent](#) to advise the Office of Undergraduate Admissions on the admission of students recommended by the three University programs approved by the Advisory Committee — athletics, dramatic art, and music. The Committee on Special Talent reports to the Advisory Committee, which approves its charge and procedures, and whose chair names its members.

Although this committee — previously known as the Subcommittee on Athletics Admissions, or the Athletics Subcommittee — was originally convened by the Advisory Committee more than two decades ago, the Advisory Committee has acted repeatedly over the last five years to clarify its role and to strengthen its procedures. These reforms are described in detail below.

As noted above, the charge and procedures of the Committee on Special Talent are grounded in the Statement on the Evaluation of Candidates and on the trustee policy regarding special-talent admissions. Specifically, the committee is charged with:

- Recommending to the Advisory Committee policies regarding the admission of students with special talent that are consistent with the mission of the University and with policies established by the UNC-Chapel Hill Board of Trustees and the UNC Board of Governors.
- Establishing admissions procedures for students with special talent that maintain the academic integrity of the University; respecting the competitiveness of admission to Carolina; recognizing the contributions that students with special talents can make to the education and the experiences of everyone within the campus community; and encouraging the eventual success, as students and citizens, of those candidates who are admitted and choose to enroll.
- Evaluating prospective students presented by University programs requiring special talent — currently defined as programs administered by the departments of athletics, dramatic art, and music—who (1) have predicted first-year grade-point averages lower than 2.3; (2) require review for possible breaches of community standards for academic or personal behavior; or (3) may only be admitted as exceptions to UNC System policies and regulations because they do not meet minimum course or admissions requirements established by the UNC Board of Governors.
- Advising the Office of Undergraduate Admissions on the capacity of the students described above to succeed academically and personally at the University, both individually and as a class within the programs that they will join.
- 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 committee.
- Reporting activities, decisions, and outcomes to the Advisory Committee at least once during the academic year.

The Committee on Special Talent consists of at least six voting members, the majority of whom are tenured or tenure-track faculty members in the College of Arts and Sciences. With the exception of two voting ex officio members — the Faculty Athletics Representative and the Associate Dean for Academic Advising in the College of Arts and Sciences — the voting members are appointed by the chair of the Advisory Committee. Appointed members serve an initial term of three years and may be reappointed for one additional term, but may not serve more than six consecutive years. The chair of the Committee on Special Talent — also appointed by the chair of the Advisory Committee — serves a term of one year and may be reappointed, but may not serve as chair more than three consecutive years.

The Committee on Special Talent currently consists of [7 voting members](#), 4 of whom are tenured faculty members in the College of Arts and Sciences. These voting members include:

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- Lissa Lamkin Broome, Wells Fargo Professor of Banking and Law, School of Law, and Faculty Athletics Representative;
- Daniel Gitterman, Thomas Willis Lambeth Distinguished Chair in Public Policy, College of Arts and Sciences;
- Lee May, Associate Dean for Academic Advising, College of Arts and Sciences;
- Layna Mosley, Professor of Political Science, College of Arts and Sciences;
- Joy Renner, Clinical Associate Professor and Director of Division of Radiologic Science, School of Medicine;
- Todd Taylor, Norman and Dorothy Eliason Distinguished Professor of English and Comparative Literature, College of Arts and Sciences; and
- Brent Wissick, Professor of Music, College of Arts and Sciences.

Non-voting consultants to the committee include the Director of the Academic Support Program for Student-Athletes (ASPSA), the Vice Provost for Enrollment and Undergraduate Admissions, the Senior Associate Athletics Director, and the Deputy Director and Senior Associate Director of Undergraduate Admissions.

Reforms in Special-Talent Admissions

In recent years, the University has acted repeatedly, through the Advisory Committee on Undergraduate Admissions and the Office of Undergraduate Admissions, to strengthen policies and procedures regarding special-talent students, and especially special-talent student-athletes.

During the fall 2009 semester, the Advisory Committee and the admissions office developed a written charge and written procedures for the Subcommittee on Athletics Admissions, the precursor of the Committee on Special Talent. The charge and procedures, which were approved formally by the Advisory Committee in January 2010, resulted in the subcommittee becoming more systematic and detailed in its evaluation of individual candidates. The first students reviewed under the new charge and procedures enrolled in fall 2010.

During the spring 2012 semester, the Office of Undergraduate Admissions worked with the [Odum Institute](#), a social science research institute at UNC-Chapel Hill, to study the extent to which various admissions credentials predicted the eventual academic performance of special-talent student-athletes once enrolled at the University. As a result of this study, and in close consultation with the institute, the admissions office subsequently developed a formula to predict the first-year grade-point average of special-talent student-athletes.

In November 2012, the Advisory Committee on Undergraduate Admissions:

- Expanded the scope of the Subcommittee on Athletics Admissions to include all special-talent admissions,
- Approved a change in the membership of the renamed Committee on Special Talent that required the majority of the committee members to be tenured or tenure-track faculty in the College of Arts and Sciences, and
- Implemented a new and tougher standard for special-talent students, based on the predicted grade-point average (PGPA) developed by the admissions office and the Odum Institute, effective for students enrolling in 2013.

These reforms have resulted in fewer enrollments of special-talent students with PGPA's below the 2.3 threshold that requires faculty review. Had the evidence-based PGPA formula been in effect in 2006, 29 enrolling special-talent student-athletes would have required faculty review, 11 of them with PGPA's below 2.1. In 2014, nine enrolling special-talent student-athletes required faculty review, 1 of them with a PGPA below 2.1.

In April 2014, as noted above, the Advisory Committee on Undergraduate Admissions presented to Faculty Council a [detailed report on athletics admissions](#). The report, developed by a working group convened jointly by the Advisory Committee, the Office of Undergraduate Admissions, and the Department of Athletics, described the policies and procedures that govern athletics admissions; provided a rationale for the meaningful disaggregation of data; defined clearly its terms and statistical methods; and included questions and answers about the report and its data.

As noted in the report, the 201 student-athletes who enrolled in spring, summer, and fall 2013 included 154 who were reviewed and assessed through the University's special-talent policies and procedures. Among these 154 students, the 25th percentile high-school grade-point average was 3.18, and the 75th percentile was 4.00. The 25th percentile test score was 990 (Critical Reading and Math combined on the SAT scale), and the 75th percentile was 1180.

Also as noted in the report, 14 of the 154 special-talent student-athletes required faculty review by the Committee on Special Talent. Nine of the fourteen were recruited to participate in "revenue" sports, which the University, following UNC System guidelines, defines as football, men's basketball, and women's basketball.

Special-Talent Students Enrolled in Aberrant Courses

The Office of Undergraduate Admissions currently maintains admissions information for individual students who enrolled between 2006 and 2014 through the special-talent policies and procedures described above. However, neither the admissions office nor any other office or department at the University maintains similar records for students who enrolled before 2006.

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For these earlier cohorts, participation in athletics, dramatic art, or music cannot serve as a precise proxy for how any individual student was admitted. As noted above, students who are recruited to participate in these programs may be offered admission competitively — that is, on the strength of their other credentials and experiences and without regard to the recommendation they received from the special-talent program that recruited them. In 2013, for example, as noted in the [report on enrolling student-athletes](#) presented to Faculty Council in April 2014, 47 of the 201 student-athletes in the first-year class were admitted competitively and without regard to special talent.

In light of these circumstances, this response offers below three summaries of students enrolled in the irregular courses described in the Wainstein report. The first summary, for the cohorts of special-talent students enrolling from 2006 through 2014, reports the number of students in each entering cohort who enrolled in any of the irregular courses — independent studies, paper classes, or bifurcated classes — during their academic careers at UNC-Chapel Hill. As the summary indicates, the number of students with special talent in athletics who enrolled in any of the irregular courses during their time at Carolina declined steadily for each cohort that entered between 2006 and 2010. No student in any cohort entering in 2011 or subsequent years enrolled in any of the irregular courses.

Special-Talent Students Enrolled in Irregular Courses, By Entering Cohort

Year Entering	TALENT IN ARTS		TALENT IN ATHLETICS		OTHER STUDENTS	
	Students in Entering Cohort	Taking Any Irregular Course in UNC Career	Students in Entering Cohort	Taking Any Irregular Course in UNC Career	Students in Entering Cohort	Taking Any Irregular Course in UNC Career
2006	32	0	157	47	3,625	37
2007	30	0	156	34	3,709	41
2008	24	0	152	28	3,687	24
2009	28	0	159	13	3,773	11
2010	32	0	148	5	3,778	1
2011	27	0	163	0	3,835	0
2012	32	0	167	0	3,715	0
2013	21	0	154	0	3,771	0
2014	29	0	147	0	3,798	0

The second summary, also for cohorts enrolling from 2006 through 2014, focuses exclusively on special-talent student-athletes. This summary again reports the total number of student-athletes in

each entering cohort who enrolled in any of the irregular courses. In addition, it also disaggregates these numbers to show the results for special-talent student-athletes falling below the 2013 threshold requiring faculty review.

Special-Talent Students Enrolled in Irregular Courses, By Entering Cohort

Year Entering	TALENT IN ATHLETICS		REQUIRING REVIEW	
	Students in Entering Cohort	Taking Any Irregular Course in UNC Career	Students in Entering Cohort	Taking Any Irregular Course in UNC Career
2006	157	47	29	21
2007	156	34	28	21
2008	152	28	17	14
2009	159	13	30	10
2010	148	5	16	2
2011	163	0	23	0
2012	167	0	23	0
2013	154	0	14	0
2014	147	0	9	0

The third summary, drawn from tables appearing on pages 90-105 in the [exhibits](#) that accompany the [Wainstein Report](#), describes enrollments in all irregular courses during the academic years 1989-1990 through 2011-2012. This summary shows the number of enrollments in these courses each year by students who were then participating in intercollegiate athletics, the number of enrollments by all students, and the share of all enrollments represented by students participating in athletics. For the purpose of this summary, enrollments during Summer Session I are counted in the preceding academic year, while enrollments during Summer Session II are counted in the following academic year.

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Enrollments in Irregular Courses, By Academic Year

Academic Year	Athlete Enrollments	All Enrollments	Athlete Enrollments As % of All Enrollments
1989-1990	4	12	33
1990-1991	5	18	28
1991-1992	3	20	15
1992-1993	13	34	38
1993-1994	14	46	30
1994-1995	17	58	29
1995-1996	9	39	23
1996-1997	17	57	30
1997-1998	17	83	20
1998-1999	67	141	48
1999-2000	87	269	32
2000-2001	89	276	32
2001-2002	114	369	31
2002-2003	223	645	35
2003-2004	335	1,001	33
2004-2005	430	1,221	35
2005-2006	375	979	38
2006-2007	258	576	45
2007-2008	205	343	60
2008-2009	213	336	63
2009-2010	85	149	57
2010-2011	44	111	40
2011-2012	21	23	91

Special-Talent Students Currently Enrolled at UNC-Chapel Hill

As of December 7, 2014, [710-720] students who entered UNC-Chapel Hill in 2006 or subsequent years through the special-talent policies and procedures described above were enrolled at the University. This total includes [105-115] students with special talent in music or dramatic art and [595-605] with special talent in athletics.

The following tables show the distribution of programs and majors among the enrolled students, disaggregated by the special-talent program — arts or athletics — that recommended the student for admission.

The first table includes information for each student’s primary major. As noted above, all students who enroll as first-year undergraduates enter the College of Arts and Sciences and are not required to declare majors until the end of their second year of study. First-year and sophomore students who have not yet declared majors appear in the table below with a major of “Undecided.”

As the summary indicates, the special-talent students in fine arts are currently pursuing 26 different primary undergraduate majors. The special-talent students in athletics are currently pursuing 37 different primary undergraduate majors.

Primary Majors of Special-Talent Students Enrolled as of December 7, 2014

Graduate or Professional	All	Arts	Athletics
Law	*	*	*
Medicine	*	*	*
Other	*	*	*
Total	*	*	*
Undergraduate	All	Arts	Athletics
African, African-American, and Diaspora Studies	[0-4]	[0-4]	[0-4]
American Studies	[0-4]	[0-4]	[0-4]
Anthropology	[0-4]	[0-4]	[0-4]
Applied Science	[0-4]	[0-4]	[0-4]
Biology (BA)	[5-9]	[0-4]	[5-9]
Biology (BS)	[10-14]	[0-4]	[5-9]
Business Administration	[70-74]	[5-9]	[65-69]
Business Journalism	[0-4]	[0-4]	[0-4]
Chemistry (BS)	[0-4]	[0-4]	[0-4]
Child Development and Family Studies	[0-4]	[0-4]	[0-4]
Communication Studies	[75-79]	[5-9]	[65-69]
Computer Science	[5-9]	[0-4]	[0-4]
Dramatic Art	[10-14]	[10-14]	[0-4]
Economics	[20-24]	[0-4]	[20-24]
English	[0-4]	[0-4]	[0-4]
Environmental Health Sciences	[0-4]	[0-4]	[0-4]
Environmental Sciences	[0-4]	[0-4]	[0-4]
Environmental Studies	[0-4]	[0-4]	[0-4]
Exercise and Sport Science	[150-154]	[0-4]	[145-149]
Geography	[0-4]	[0-4]	[0-4]
Geological Sciences	[0-4]	[0-4]	[0-4]
Geological Sciences (BS)	[0-4]	[0-4]	[0-4]
Global Studies	[0-4]	[0-4]	[0-4]
Health Policy and Management	[0-4]	[0-4]	[0-4]
History	[0-4]	[0-4]	[0-4]
Information Science	[0-4]	[0-4]	[0-4]
Journalism and Mass Communication	[35-39]	[5-9]	[30-34]
Management and Society	[20-24]	[0-4]	[20-24]

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Mathematical Decision Sciences	[0-4]	[0-4]	[0-4]
Mathematics (BA)	[0-4]	[0-4]	[0-4]
Middle Grades Education	[0-4]	[0-4]	[0-4]
Music	[15-19]	[15-19]	[0-4]
Music (Performing)	[30-34]	[30-34]	[0-4]
Music Education Licensure	[0-4]	[0-4]	[0-4]
Nursing	[5-9]	[0-4]	[5-9]
Off Campus Degree Seeking	[0-4]	[0-4]	[0-4]
Peace, War, and Defense	[0-4]	[0-4]	[0-4]
Pharmacy	[0-4]	[0-4]	[0-4]
Physics	[0-4]	[0-4]	[0-4]
Political Science	[5-9]	[0-4]	[5-9]
Psychology	[10-14]	[0-4]	[5-9]
Psychology (BA)	[10-14]	[0-4]	[5-9]
Psychology (BS)	[0-4]	[0-4]	[0-4]
Public Policy	[0-4]	[0-4]	[0-4]
Romance Languages	[0-4]	[0-4]	[0-4]
Sociology	[10-14]	[0-4]	[10-14]
Studio Art	[0-4]	[0-4]	[0-4]
Undecided	[125-129]	[5-9]	[120-124]
Total	[695-705]	[105-115]	[585-595]

[Note: Public record copy reflects * where a range was not available to protect identifiable student data.]

[Note: Public record copy reflects [] where a range was provided to protect identifiable student data.]

The second table includes information about secondary majors for the 94 students who have declared more than one major.

As the summary indicates, 44 students with special talent in fine arts and 50 students with special talent in athletics are pursuing secondary undergraduate majors.

Secondary Majors of Special-Talent Students Enrolled as of December 7, 2014

Undergraduate--Secondary Majors	All	Arts	Athletics
American Studies	[0-4]	[0-4]	[0-4]
Anthropology	[0-4]	[0-4]	[0-4]
Biology	[0-4]	[0-4]	[0-4]
Biology (BS)	[0-4]	[0-4]	[0-4]
Chemistry	[0-4]	[0-4]	[0-4]
Communication Studies	[10-14]	[0-4]	[5-9]
Dramatic Art	[10-14]	[10-14]	[0-4]
Economics	[5-9]	[0-4]	[0-4]
English	[0-4]	[0-4]	[0-4]
Exercise and Sport Science	[10-14]	[0-4]	[5-9]
Geography	[0-4]	[0-4]	[0-4]
Geological Sciences	[0-4]	[0-4]	[0-4]
Global Studies	[0-4]	[0-4]	[0-4]
History	[0-4]	[0-4]	[0-4]
Management and Society	[0-4]	[0-4]	[0-4]
Mathematical Decision Sciences	[0-4]	[0-4]	[0-4]
Music	[5-9]	[5-9]	[0-4]
Music (Performing)	[0-4]	[0-4]	[0-4]
Peace, War, and Defense	[0-4]	[0-4]	[0-4]
Philosophy	[0-4]	[0-4]	[0-4]
Physics (BS)	[0-4]	[0-4]	[0-4]
Political Science	[0-4]	[0-4]	[0-4]
Psychology	[5-9]	[0-4]	[0-4]
Psychology (BS)	[0-4]	[0-4]	[0-4]
Religious Studies	[0-4]	[0-4]	[0-4]
Sociology	[0-4]	[0-4]	[0-4]
Studio Art	[0-4]	[0-4]	[0-4]
Women's and Gender Studies	[0-4]	[0-4]	[0-4]
Total	94	44	50

[Note: Public record copy reflects [] where a range was provided to protect identifiable student data.]

The final two tables show primary and secondary majors for currently enrolled student-athletes falling below the 2013 threshold requiring faculty review. As of December 7, 2014, there were 58 such students currently enrolled at the University, all in undergraduate degree programs. As in the table above, first-year and sophomore students who have not yet declared majors appear with a major of “Undecided.”

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Primary Majors of Student-Athletes Falling Below 2013 Threshold for Faculty Review

Undergraduate	All
African, African-American, and Diaspora Studies	[1-5]
Communication Studies	[21-25]
Economics	[1-5]
Exercise and Sport Science	[16-20]
History	[1-5]
Journalism and Mass Communication	[1-5]
Off Campus Degree Seeking	[1-5]
Sociology	[1-5]
Undecided	[11-15]
Total	58

[Note: Public record copy reflects [] where a range was provided to protect identifiable student data.]

Secondary Majors of Student-Athletes Falling Below 2013 Threshold for Faculty Review

Undergraduate	All
Communication Studies	[1-5]
Exercise and Sport Science	[1-5]
Peace, War, and Defense	[1-5]
Studio Art	[1-5]
Total	6

[Note: Public record copy reflects [] where a range was provided to protect identifiable student data.]

Next Steps

The Advisory Committee on Undergraduate Admissions is scheduled to present its next annual report (covering activities and results for the 2013-2014 academic year) in February 2015. This annual report will include a second detailed summary of athletics admissions, using the template and definitions developed for the first report published in April 2014.

The Office of Undergraduate Admissions expects that all first-year students who enroll in 2015, including all special-talent students, will fulfill the minimum course and admissions requirements of the UNC System. The admissions office also expects that no more than 10 special-talent student-athletes will require review by the Committee on Special Talent.

The Office of Undergraduate Admissions is currently working with the Odum Institute to review, and if possible to improve, the formula for predicting the first-year grade-point average of special-talent student-athletes. Any recommended revision in the formula, if approved by the Committee on Special Talent and the Advisory Committee on Undergraduate Admissions, will take effect for students applying for admission in 2016.

Conclusion

The University's admissions policies and procedures are published and consistent with the University's mission. They are designed to afford each candidate an individualized and comprehensive evaluation and to identify students who can benefit from academic programs offered by the University.

The policies and procedures that govern the admission of special-talent student-athletes have been strengthened repeatedly over the last five years, and admissions expectations for new student-athletes have risen. The University will continue to monitor the academic performance of currently enrolled special-talent student-athletes and will adjust admissions expectations again as necessary.

References

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[UNC Policy Manual 700.1.1.1\[R\]](#)

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[2014-2015 Undergraduate Bulletin UNC-Chapel Hill Admissions Policy](#)

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[University Government Committee of Faculty Council Web page](#)

[Annual Report of the Committee on University Government, January 17, 2014](#)

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COMPREHENSIVE STANDARD 3.4.3

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Comprehensive Standard 3.4.5 Academic Policies

SACSCOC Request for Information Related to this Standard

This standard expects an institution to develop and publish academic policies that adhere to principles of good educational practice. In addition, it is the obligation of the institution to disseminate these policies to students, faculty and other interested parties through publications that accurately represent the programs and services of the instruction.

In the November 13, 2014, letter from SACSCOC, the University of North Carolina at Chapel Hill was asked to explain and document the extent of its compliance with this standard by addressing the following specific requests for information:

The institution is requested to provide polices pertaining to independent study classes, grading, syllabi review and external departmental program reviews. Show the effects of the Independent Study Task Force Committee recommendations and subsequent adoption of procedures by the institution in terms of the impact on offering independent study courses and the number of courses students may count toward graduation. Address the approval process for (1) offering the independent study course and student enrollment in the course, (2) current grading practice, (3) current grading oversight and (4) changes in the process since the SACSCOC Special Committee visit in April 2013.

Summary

The development, publishing, and dissemination of academic policies that adhere to the principles of good educational practice is vital to the operation of any academic enterprise. The University recognizes that inconsistent interpretation and application of academic policies led to and played a significant role in the persistence of the irregularities in the AFAM department. This section of our response will demonstrate that the University has implemented reforms in its academic policies to prevent the irregularities in the AFAM department from recurring. This section will detail actions and initiatives to ensure independent study, grade practices and oversight are fully compliant with Commissions standards, and designed to prevent recurrence of the previous AFAM irregularities. The section will also highlight all academic policy changes that have occurred beginning in 2012.

- The University implemented a number of reforms in its academic policies to prevent the academic irregularities from reoccurring.
- To ensure academic integrity, the University established checks and balances over independent study courses, grading practices, syllabi collection, and external department reviews. Had these critical checks and balances been in place prior to 2012, it is highly unlikely that the academic irregularities that occurred in AFAM would have begun at all, let alone persisted as long as they did.

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- The University takes a proactive approach to the enforcement and oversight of its academic policies and continually reviews its processes to maintain high standards of academic excellence.
- The University will continue to look for effective ways to leverage new technologies to allow for greater ease and efficacy of monitoring efforts, such as a planned transition of the Independent Study Learning Contract to an electronic form with automated workflow and approval steps.

Actions

The University of North Carolina at Chapel Hill has a well-established model of shared governance that ensures that academic policy decisions are considered and approved by the faculty. The University's Faculty Council is the recognized authority for establishing academic policy. The Office of the University Registrar is responsible for oversight of policies related to academic procedures. The office publishes all policies related to grading on a section of that office's [website dedicated exclusively to the grading process](#).

Academic Policies Concerning Independent Study, Grading, Syllabi, and Program Reviews

Independent Study Classes

The 2014-2015 *Undergraduate Bulletin* makes the following statement regarding “Independent Studies for Credit:”

“The University offers independent study experiences for students. Such courses, including directed readings, internships, and research courses for an individual student, are offered for academic credit through departments and curricula. Twelve hours of graded independent study credit may be counted toward graduation (excluding six hours of senior honors thesis credit). No more than 12 hours may be taken in any one semester. Students may participate in formalized programs, or they may make individual contracts for work under the supervision of a member of the permanent faculty at the department/curriculum level. For information about independent study courses in their majors, students should consult the director of undergraduate studies in their major department or curriculum. Students must complete a learning contract and have it approved before the last day of late registration (at the end of the first week of classes in a fall or spring semester or the equivalent date in each summer session).”

This section regarding “Independent Studies for Credit” was first incorporated in the *Undergraduate Bulletin* in the 2010-2011 edition. A 12-hour limit on departmental independent study credits was initially included in the 2006-2007 Bulletin as an addition to the existing policy on “Special Studies for Credit.” Until Fall 2006 there was no defined limit on the number of independent study courses that could be applied toward an undergraduate degree.

The graduation coordinator, a Dean's designee, is responsible for certifying courses towards graduation and has the authority to grant an exception for any degree requirement other than a minimum 120

credit hours and a 2.0 minimum required G.P.A. A graduation coordinator in place from 1988 until retirement in 2008 did not limit the number of independent study courses that could be applied toward graduation of any students. UNC-Chapel Hill began considering the number of Independent Studies completed as part of the graduation certification process when the Fall 2006 cohort began graduating (Spring 2010). Based on the language of the Undergraduate Bulletin as well as the practical application by its administration, there was no limit on the number of independent study courses that could be applied toward graduation until students entered in the Fall 2006 semester. Prior to the 2012, there also were no procedures in place for monitoring enrollments in independent studies. As with other areas related to academic integrity, the University has implemented a comprehensive degree audit system that provides additional checks and balances for the graduation coordinator and University.

In light of the effectiveness of the current policies and procedures, the University feels strongly that had the current checks and balances been in place prior to 2012, the irregularities in AFAM would not have persisted for any length of time, or more likely would not have occurred. As critical and effective as the current reforms related to Independent Studies are, they stand in stark contrast to the lack of any real policies or procedures prior to this period.

Current Policies Related to Independent Studies

All current academic policies for enrolling in independent study classes, awarding academic credit, and effectively completing a learning contract for each independent study class, are published on the Office of the University Registrar website under [University Policy Memorandum 30, Independent Study Policy](#), which was last updated in February 2014 with the addition of a sample learning contract. This policy defines independent study classes, requirements, and limits and exclusions.

The University's policy states, in part:

“As a category, ‘independent study’ denotes courses that provide a mechanism for a student to work on a specific topic with a faculty member for academic credit. Typically, the topic is focused rather than general and is not usually pursued in scheduled courses. At least three hours of independent work per week is expected for each unit of credit, and a final written paper, report, or artistic work is required.”

To cover the different ways in which disciplines have come to define the term, the policy defines five types of coursework as “independent study,” each of which has a standard number assigned by the Office of the University Registrar:

- Traditional Independent Study: The pursuit of a topic of interest by a student (generally in the major or minor) under the supervision of a faculty member with expertise related to the topic.
- Directed Readings: Systematic analysis of an approved bibliography in the student's area of interest.
- Directed and/or Mentored Undergraduate Research: Investigative, fact-finding work supervised by a faculty mentor and conducted outside a conventional classroom — in a laboratory, in field sites, in a library, or in other places in which research activity takes place.

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- Internships/Practica: Such courses provide a supervised, reflective work experience designed to give students first-hand knowledge of the practice of a discipline.
- Honors Thesis: Two semesters of independent research for which the student, under the guidance of a full-time faculty supervisor, is responsible for designing and completing a research project or creative activity, in accordance with the guidelines jointly established by Honors Carolina and the academic unit.

A particularly important reform is the current requirement that a completed and approved [Independent Study Learning Contract](#) be submitted before a student can enroll in an independent study. This policy went into effect for the College of Arts and Sciences in 2012 and was adopted University-wide in 2013. In order to enforce this requirement and to ensure the integrity of these policies, all independent study sections are set up to require a permission override (or departmental approval), which prevents a student from enrolling with a manual override. To further enforce the integrity of the independent study process, various departments have approved additional requisites for these courses, such as a minimum GPA for students to enroll. These additional requisites are built in to the course catalog of the University and are systematically enforced within the student registration system. For example, the Department of African, African-American, and Diaspora Studies requires a student to be a major in the department and to have a minimum 3.00 GPA in order to enroll in an independent study. Both of these requisites, in addition to the required Independent Study Learning Contract, are programmatically enforced by ConnectCarolina.

As noted in the current policy cited above, unless granted an exception by the appropriate College or School dean, all undergraduate students are limited to 12 hours of independent study courses that can count toward a baccalaureate degree. It is important to note, however, that any student can take more than 12 hours of independent study coursework, so long as the total earned hours earned by the student exceeds the required 120 hours by the number of independent study hours that are excluded from their degree count.

Independent study courses provide an opportunity for students to pursue a special research or project interest under a faculty member's direction. Under current policy, most independent study courses are restricted to majors and minors in a department or curriculum. A student who wishes to pursue an independent study writes a draft proposal and contacts a faculty member who teaches in the research area of interest to supervise the project. Alternatively, a student may contact the Director of Undergraduate Studies or the faculty member serving as the department's Independent Study Coordinator, which is a new position created under the current policy, to discuss the proposal and learn more about the specific requirements for the independent study course.

After identifying a faculty supervisor, the student completes an [Independent Study Learning Contract](#) outlining the specific requirements of the proposed learning experience. The contract includes the following elements: the number of academic credit hours to be awarded that corresponds to the work and the time commitment involved, a description of the requirements for the learning experience, the expectations for faculty/student meetings, written work (10 pages of scholarly work required for three credit hours), readings and other activities, and the grading criteria. Once the faculty supervisor has

approved the proposal, it must be submitted to the Independent Study Coordinator of the instructor's department. If the Independent Study Coordinator is not the Department Chair, the Director of Undergraduate Studies or another Faculty Designee of the Chair, then the Chair or the Director of Undergraduate Studies must also approve the contract. Students complete this process before the semester begins. Registration for an independent study course is completed after the learning contract has been approved, but no later than the last day of late registration.

Grading

The [Grading Policies and Regulations](#) on the University Registrar's website specify the grades that can be assigned to undergraduate, graduate, and professional students; establish that the primary instructor/faculty member is the sole authority for reporting and changing grades; and specify criteria for entering, approving, and submitting grades.

The University's current policy states, in part:

"The primary instructor of a class, as a member of the faculty at the University of North Carolina at Chapel Hill, is the sole authority for reporting and/or changing a course grade. In those instances when a faculty member's appointment has been terminated or a faculty member has resigned or is deceased, the sole authority for approving and/or changing a course grade rests with the chair of the relevant unit (school, department or curriculum).

When an established and documented second level of approval is required in a unit's grading process (e.g., the Dean of the School of Law reviews and approves all course grades before they are recorded and posted), then that second level approver (generally a Dean) or the Dean's designate can approve and/or change grades. A Dean's designate must be approved in writing by the Dean of the unit and the University Registrar before being added to an electronic grade roster. Approvals for Dean's Designates will be kept on file in the Office of the University Registrar.

In all cases, an approved grading Proxy may enter grades for a faculty member or a Dean. However, a grading Proxy cannot approve grades and/or submit grade changes; these two actions (approving grades and submitting grade changes) can only be accomplished by the primary instructor or the second level approver."

The Office of the University Registrar sends out the grading policy to all departments twice each semester: once during the scheduling period when courses are scheduled and faculty assigned, and again right before the grading period.

In addition, the University publishes grading policies (including descriptions of the grading system and procedures for student grade appeals) in official catalogs and on webpages. The grading policies are published in the printed and online versions of the [Undergraduate Bulletin](#) and the online version of the [Graduate School Handbook](#). In addition, grading policies are printed in the Office of the University Registrar's [University Policy Memorandum 24, The Grading System](#).

The University's long-standing policy that prevents any changes to the student's record one calendar

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year after graduation has no bearing on the University's retention of records, as the University Registrar's office retains all transcript-related material permanently, as noted in Comprehensive Standard 3.9.2 (Student Records). However, this policy does relate to the grading policies of the University, and, as such, the University Registrar is tasked with enforcement of this policy along with other grading policies.

Course Syllabi Review

Through parallel processes, the Educational Policy Committee of Faculty Council and the [Administrative Boards of the College of Arts and Sciences](#) (collectively representing the professional schools and all divisions of the College) developed guidelines for information to be presented on a course syllabus. In September 2012 and then again in [October 2012, Resolution 2012-11 \(On Guidelines for Course Syllabi\)](#), which articulates sound educational practice in creating a course syllabus, was presented to and passed by the Faculty Council. Faculty members are reminded about the syllabus guidelines via email, as well as presentations in various settings such as new chair orientation, new faculty orientation and the chair's retreat.

By the first day of classes, instructors of record must submit current syllabi to a designated individual within the department or school for all courses they will teach that semester. Department chairs must [regularly remind their instructors of record about the syllabi guidelines](#). In addition, department chairs in the College of Arts and Sciences sign a form to attest that they are complying with University requirements for collecting and retaining syllabi and verify that: (1) syllabi are made available to students no later than the first day of class; (2) the department regularly provides instructors with University guidelines about preparing course syllabi; and (3) that syllabi are retained in the department for at least four years, either electronically or in print (with storage location provided). Some professional schools (e.g., [Journalism and Mass Communication](#)) publish current course syllabi on a school intranet or maintain them in a learning management system (e.g., School of Medicine-password protected). Departments and schools are required to retain these syllabi for a period of four years and ensure they can be produced for audit at any time.

The Syllabi Audit/Review Process is as follows: Each semester or term after the 10th day of class, the Office of Institutional Research and Assessment (OIRA) generates a random sample of courses offered during that semester or term. The deans' offices collect syllabi for the sampled courses and follow up with the department chair and/or instructor to resolve any situations in which a syllabus is not immediately available from the instructor.

In an effort to improve the value of syllabi for communicating course expectations to students, the College of Arts and Sciences implemented an additional process for evaluating the quality of the contents of these documents. An online rating rubric was developed based on the guidelines and criteria outlined in the Faculty Council Resolution 2012-11. A faculty member well versed in both the undergraduate curriculum and the general education curriculum rated the 244 randomly selected syllabi (approximately 8% of 3,125 courses offered) collected in the fall 2014 audit on the specific

features recommended by Faculty Council. In addition to rating these features as present, absent, or problematic, comments were added to suggest improvements.

In nearly all cases, the syllabi contents were judged to be in compliance with the Faculty Council guidelines. The review identified a few overall areas for improvement (e.g., needed policies on late work, incomplete descriptions of the competencies and learning outcomes students will develop, course title inaccuracy, and missing office hours information) that will be shared with the chairs. In addition, the Center for Faculty Excellence plans to incorporate these findings into its workshops on syllabus development. The Senior Associate Dean of Undergraduate Education “closed the loop” by sending the syllabus evaluations to the individual instructors of record and their chairs. She requested that instructors follow up with the Associate Dean of Undergraduate Curricula to correct the noted syllabi deficiencies.

External Departmental Program Reviews

The Office of the Executive Vice Chancellor and Provost charges The Graduate School with conducting external program reviews for all departments with graduate programs. These are on an 8- to 10-year cycle with an additional mid-point review. In fall 2012, stand-alone undergraduate programs were added to this review process. This addition addressed the gap that had allowed a department with undergraduate programs only, such as the Department of African, African American, and Diaspora Studies, to be omitted from this review process.

The primary objective of the external departmental program review is to maintain and enhance program quality. The review includes an assessment process involving a self-study, a site visit by external reviewers, and closing interviews with the dean of the respective school and representatives from the Provost’s Office and The Graduate School. Review procedures, including [instructions for preparing the self-study and the protocols](#) followed by the external team, can be found on The Graduate School’s website. As an example, results from the recent review of the undergraduate program in the Department of African, African American, and Diaspora Studies are provided in the response to [Comprehensive Standard 2.7.2 \(Program Content\)](#).

In addition, over 40 professional agencies accredit individual academic programs at UNC-Chapel Hill. These programs undergo comprehensive reviews of all aspects of their operations and student outcomes on regular cycles and provide feedback for program improvement.

Effects of the Independent Study Task Force Committee Recommendations and Subsequent Adoption of Procedures

Course Renumbering

The 2011-2012 Independent Study Task Force Committee report observed that variations in course number usage made it difficult to accurately identify and report on independent study activity. With departments not consistently using the same number range for Independent study courses, it had become increasingly difficult to report on the number of these courses offered, let alone to monitor enrollments to identify any concerns. In response, the offices of the University Registrar and

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Undergraduate Curricula coordinated a significant course renumbering effort during summer 2012 that aligned the numbering of independent study courses with the University's Standard Course Numbering System. The University Registrar's office issued the revised [University Policy Memorandum 4, Standard Course and Section Numbering System](#) in September 2012. All schools were required to modify their course numbers to conform to the new standards, which took effect for fall 2013 enrollment.

The renumbering effort resulted in greater oversight of both independent study registrations and grading patterns in these courses and also allowed for greater enforcement of other reforms that had been passed, such as the requirement that all faculty have their own scheduled sections of independent study courses. In addition, the Office of the Registrar can now enforce the 12-hour limit on independent studies in real time through ConnectCarolina, the campus student information system. If a student exceeds the 12-hour limit on these courses, any hours above and beyond the limit are marked as non-degree applicable and are not counted toward the requisite 120 hours for a bachelor's degree at UNC-Chapel Hill but do still count as earned credit for the student. As noted earlier, students are allowed to exceed 12 hours of independent study, but only 12 hours can be counted toward degree requirements. More information on this update is provided in the response to [Comprehensive Standard 3.9.2 \(Student Records\)](#).

New Approval Procedure for Independent Study Enrollment

Another outcome of the 2011-12 Independent Study Task Force Report was the adoption of a standard procedure for approving a student's enrollment in an independent study course. Each undergraduate student and faculty supervisor requesting permission to establish an independent study activity for credit must engage in a multistage review and approval process at the beginning of the semester. This recommendation from the task force was reviewed by multiple boards including the Administrative Boards of the College of Arts and Sciences in April 2012 ([agenda](#), [minutes](#)), the Educational Policy Committee of the Faculty Council in August 2012, and the entire Faculty Council in March 2013. [Faculty Council Resolution 2013-06](#) (On Campus-wide Implementation of the Recommendations of the 2012 Independent Study Task Force) was presented to the Faculty Council in February 2013, and after additional input by the professional schools, was unanimously approved by the Council in March 2013. The resolution is posted in numerous locations, including the *Undergraduate Bulletin*, and the websites of the Office of the University Registrar, the Office of Undergraduate Curricula, and Office of Faculty Governance. Faculty members are regularly reminded about the policy from [informational email communications](#), from their department chairs and directors of undergraduate studies, and during events such as new chair orientation, new faculty orientation and the chair's retreat.

Approval Process for Independent Study Courses and Enrollments, Current Grading Practice, Current Grading Oversight, and Changes Since April 2013

Approval Process for Offering the Independent Study Course and Student Enrollment in the Course

As noted above, a student who wishes to pursue an independent study completes a Learning Contract that is approved by the faculty supervisor and submitted to the appropriate department contact, either

the Director of Undergraduate Studies or the Department Chair. Similar to the process used for syllabi, department chairs must sign a form attesting that: (1) a system is in place for reviewing and approving learning contracts for independent study courses, (2) a method exists for creating individual sections for each faculty member offering independent study experiences, and (3) a process is in place for enrolling students in these course no later than the last day of late registration.

After the 10th day of class in each semester or term, the Office of Institutional Research and Assessment (OIRA) provides the Senior Associate Dean for Undergraduate Education with a list of all independent study enrollments for review.

The Senior Associate Dean for Undergraduate Education reviews these enrollments for issues that need to be addressed (e.g., missing instructor of record, or instructors with more than two students enrolled). The Senior Associate Dean then directs the appropriate department chair to follow up and provide an explanation for the apparent deviation from the policy. A description of the classes that required these follow-ups and the reasons is provided for spring 2013.

As with course syllabi, a random sample of these approved independent study courses is identified for auditing purposes, and these contracts are collected from the departments and submitted to the Provost's Office.

To further examine compliance with University policies related to learning contracts, the Department of Psychology was selected for an in-depth review of all independent study enrollments (N=237) in the 2012-2013 academic year. Two raters used an online form to document required components of the learning contracts. The April 2013 report from this content analysis indicated that the contracts were serving the intended purpose of ensuring that the students were enrolling in a rigorous, high-quality educational experience with the faculty member.

The process for student enrollment in an independent study class is described above under "Independent Study Classes."

Current Grading Practice

The current policy on grading, adopted in November 2013, is described above. The Office of the University Registrar sends the policy to all departments twice each semester: once during the scheduling period when courses are scheduled and faculty assigned, and then again right before the grading period.

Current Grading Oversight

The University's grading policy has always designated the instructor of record as the sole authority for submitting or changing grades. The revised policy provides further clarity on this requirement and codifies the process for existing grading practices for certain schools (e.g., the School of Law), which explicitly require a dean's review and approval for all grades based on grading policies of that school.

The Office of the University Registrar requires written documentation for any second-level approver to

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be granted grade approval access in ConnectCarolina, the student information system. For example, in the College of Arts and Sciences, only the faculty member of record can enter and approve the grade roster.

All undergraduate grade changes (whether a temporary grade or a permanent grade) require the approval of the department chair, as well as the Associate Dean and Director of the Academic Advising Program. Grade changes can only be made for a limited set of reasons: arithmetical or clerical error, arbitrariness (including discrimination or harassment based on the race, color, gender, national origin, age, religion, creed, disability, veteran's status, sexual orientation, gender identity, or gender expression of the student), personal malice, or student conduct cognizable under the [Instrument of Student Judicial Governance](#). When a grade change requires an additional level of review, the Senior Associate Dean for Undergraduate Education also examines the request.

Changes in the Process Since SACSCOC Special Committee Visit in April 2013

In fall 2014, the Office of the University Registrar implemented a modification to ConnectCarolina that hard-coded the grading policies and practices described above. Only faculty members who are assigned to courses (or any documented and approved representatives designated by the dean) can be granted approval access for grade rosters or grade changes.

This system modification is a significant step forward in ensuring the University's academic integrity, and allows for a much more proactive approach to the enforcement and oversight of the grading process. Oversight for grading for all courses -- including independent study courses -- is a joint responsibility at UNC-Chapel Hill. The Office of the University Registrar, which maintains the security of the student information system and the auditing and contextual data related to grading; coordinates with the academic units, particularly the deans who oversee academic policy.

The Office of the University Registrar publishes an instructor grading pattern report for all faculty each semester. These reports are made available via dashboards to all faculty and all academic deans at the University. The University Registrar also runs regular audits of the assignment of faculty to scheduled courses, the approval of grade rosters, and an "attempted access" log that can identify the user and Internet protocol (IP) address for any screen in the student system. In addition, the electronic grade change system is designed in a way that allows any dean's-level approver to review all grade change requests and includes user identification information and exact time of any action within the system. The University Registrar has complete access to all transactions within this system and regularly monitors them to ensure compliance with all relevant policies. See also responses to [Comprehensive Standard 3.9.2 \(Student Records\)](#) and [Federal Requirement 4.3 \(Publication of Policies\)](#).

While still in the planning stages, but on the schedule for development, the University has identified an opportunity to leverage existing technology to improve the efficiency of the requirement that students complete an Independent Study Learning Contract before enrolling in an independent study. While confident in the current process (e.g., the electronic checks on the grade change system), we believe that electronic monitoring of the Independent Study Learning Contract registration will have significant benefits. The new system will provide both greater efficiency and an enhanced ability to

track and monitor the registration process. Leveraging technology in an efficient and appropriate manner has benefited the University significantly over the past several years and will continue to do so as we identify opportunities for improved efficiency and auditability within our academic processes.

Next Steps

The University will continue to build upon its well-established model of shared governance that ensures that academic policy decisions are considered and approved by the faculty. This governance model will be further strengthened by the University's commitment to an extensive policy and procedure audit to identify any remaining redundancies and gaps and create a mechanism for periodic re-evaluation. In addition, the University will continue to look for the most effective ways to leverage new technologies to create greater efficiency and efficacy of its monitoring efforts to further ensure policy compliance and academic integrity.

Conclusion

The University developed and implemented several new academic policies on independent study, grading practices, syllabi collection, and external department reviews. Ongoing evaluations of these policies have provided strong evidence of the positive impact of these multiple checks and balances to ensure policy compliance and the quality of educational experiences.

References

[Registrar's Website on Grading Policies and Regulations](#)

[University Policy Memorandum 30, Independent Study Policy](#)

[Independent Studies for Credit](#)

[Independent Study Learning Contract](#)

[Grading Policies and Regulations](#)

[Undergraduate Bulletin - Grading System](#)

[Graduate School Handbook - Graduate Grading](#)

[University Policy Memorandum 24, The Grading System](#)

[Administrative Boards of the College of Arts and Sciences and General College](#)

[UNC Office of Faculty Governance Minutes - October 2012](#)

[Faculty Council Resolution 2012-11 \(On Guidelines for Course Syllabi\)](#)

[Syllabi guidelines message from Office of Undergraduate Curricula \(August 2014\)](#)

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[Syllabi Examples: Journalism and Mass Communication \(Fall 2014\)](#)

[Example communication: Letter to department chairs \(December 2014\)](#)

[Graduate School instructions for Program Review](#)

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

[Administrative Boards April 2012 Agenda](#)

[Administrative Boards April 2012 Minutes](#)

[Faculty Council Resolution 2013-06 \(Independent Study Task Force Recommendations\)](#)

[*Instrument of Student Judicial Governance*](#)

Comprehensive Standard 3.4.9 Academic Support Services

SACSCOC Request for Information Related to this Standard

This standard expects an institution to provide appropriate academic support services. Further, the services are designed to strengthen academic programs and ensure the success of students and faculty in meeting the goals of the educational programs.

In the November 13, 2014, letter from SACSCOC, the University of North Carolina at Chapel Hill was asked to explain and document the extent of its compliance with this standard by addressing the following specific requests for information:

The institution is requested to provide an overview of academic support services for all undergraduate education. Give particular attention to the Athletics Department and Academic Support program for Student Athletes (ASPSA), and the undergraduate academic advising program. Demonstrate the effectiveness and integrity of the student athlete support services process and provide evidence of institutional accountability. Provide an update on the strategic initiatives development by ASPSA in 2013 and assess the effectiveness of these policies related to the hiring, training and oversight of academic tutors for student athletes. Report on the effectiveness of the move of the ASPSA from the College of Arts and Sciences to the office of the Executive Vice Chancellor and Provost.

Summary

Providing appropriate academic support services and ensuring the success of all students is essential to the mission of an institution. The University recognizes the value of effective academic support services in fostering academic progress and preventing irregularities. This section will demonstrate that recent reforms, reporting relationship changes and enhanced training and oversight have resulted in support services that are fully compliant with the Commission's Standards, and will demonstrate the effectiveness and integrity of all current programs and processes.

- The University offers a wide range of academic support services designed to ensure all Carolina students achieve academic success.
- Student-athletes benefit from the same academic support services provided to all University students and also receive services from the Academic Support Program for Student-Athletes, a support program specifically tailored to address their unique needs.
- The University has implemented, based on information from several investigations, a wide array of changes over the past few years to provide student-athletes the support to successfully achieve their educational goals.

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- The University continually monitors its academic support processes to determine adherence to University policies, address any issues, and protect the institution's academic integrity.
- In keeping with the University's commitment to transparency, reports and updates regarding advising and support are regularly made available on the Carolina Commitment website.

Actions

Overview of Academic Support Services for All Undergraduates

The Wainstein Report mentioned advising in general and the Academic Support Program for Student-Athletes (ASPSA) in particular a number of times, and raised questions as to the effectiveness of the University's advising processes. Thus it is clear why SACSCOC has asked for detailed information on how all students, including student-athletes, are advised on academic standards and how their academic progress is supported. In light of what the University has learned from several investigations, numerous changes have been implemented over the past several years to ensure that high-quality academic support is provided to *all* students. These changes are described in detail in the sections below.

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

Academic support services at UNC-Chapel Hill encompass offices and centers where students have access to an outstanding general education curriculum, major/minor/professional programs in world-class academic departments and schools and high-impact educational opportunities (for example, [First-Year Seminars](#), [undergraduate research opportunities](#), courses with innovative teaching and [honors programs](#)); and can experience a full array of state-of-the-art academic support services to help all undergraduates thrive.

In the College of Arts and Sciences, the Office of Undergraduate Education provides different forms of academic support: (a) the [Academic Advising Program](#) (described below); (b) the [Office of Undergraduate Retention](#), whose staff continually evaluate student academic eligibility and support students on academic probation, first-generation students, and transfer students; and, (c) the [Center for Student Success and Academic Counseling](#) (CSSAC), which offers a variety of academic support programs including [the Writing Center](#), [the Learning Center](#), [Summer Bridge](#), [peer tutoring programs](#), [peer mentoring](#) and a [minority male program](#).

As they move from the General College into their major departments and professional schools undergraduate students also receive support from that department or school. Each unit has a [Director of Undergraduate Studies](#) who, along with the department chair or dean, oversees the curricular integrity of the unit and provides academic support functions, in conjunction with a team of faculty academic advisors who provide guidance within specific majors.

Overview of Academic Support Services Provided by the Undergraduate Academic Advising Program

The Undergraduate Academic Advising Program (AAP), headed by Associate Dean and Director Dr. Lee Y. May, is the central academic advising unit in the College of Arts and Sciences. AAP staff work with all incoming undergraduates — approximately 4,000 first-year students and 800 sophomore and junior transfer students annually. They also advise students who have left the University and wish to return to complete a bachelor's degree. Some students advised by AAP are admitted to professional schools as first- and second-year students in the General College. Those students then receive their primary academic advising in their majors through those professional schools; however, the AAP continues to advise professional school students pursuing second majors and minors based in the College of Arts and Sciences. Approximately 16,000 of the total 18,000 undergraduates receive services directly from the Academic Advising Program.

The AAP partners with students to create meaningful educational plans compatible with their interests, abilities, career, and life goals. Advisors play an important role in communicating the University's academic policies to undergraduates and also guiding them to educational opportunities and campus resources that support academic success. They work closely with students in complex life circumstances to assist them in understanding their academic options.

Each student is assigned an academic advisor based on his or her academic interests. The AAP is organized into advising teams that include experts in majors offered in undergraduate curricula and advising generalists. Advisors connect with students through daily drop-in times, by appointment (in person, by telephone, or via Skype), and through an online chat program. In addition to one-on-one advising sessions, advisors facilitate group advising workshops for students who are undecided on a major and need help in the exploration process.

Overview of Academic Support Services Provided by the Academic Support Program for Student-Athletes

Student-athletes have access to the same academic support services provided by the University to all students. In addition, student-athletes receive services from the [Academic Support Program for Student-Athletes](#) (ASPSA). Because student-athletes have unique needs — most notably missed class time due to the time demands of practice and sports competition, travel, and the NCAA progress toward degree requirements — the ASPSA provides services, including tutoring and academic counseling.

The ASPSA helps student-athletes explore their academic interests and abilities and provides numerous academic services to support their success. The ASPSA staff guide and support student-athletes throughout their careers at the University, beginning with an introduction to academics at UNC-Chapel Hill during recruitment and continuing contacts after graduation.

Beginning in May 2013, the Assistant Provost and Director of the ASPSA, Dr. Michelle Brown (who began this job at the same time), began reporting directly to the Executive Vice Chancellor and Provost (as discussed in more detail later in this response). As a result of this change, the program is in a

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stronger position to collaborate with faculty from across the University, the Department of Athletics, and the campus community to support student-athletes.

The ASPSA provides student-athletes with a variety of academic services, including the following:

- Student guidance and academic schedule planning to complement advising provided by the College of Arts and Sciences Undergraduate Academic Advising Program (AAP) and professional school advising programs for course planning, major selection, degree progress, and subject area tutorial assistance.
- My Academic Plan (MAP), a program that offers incoming student-athletes and others who need more intensive academic support the chance to work with academic counselors and learning specialists to develop a customized plan based on academic preparedness and individual need.
- Tutoring services available to all student-athletes; the ASPSA employs approximately 90 tutors to offer individual, small group and large group sessions six days per week during the academic year.
- Assistance with academic and personal goal setting.
- Reporting to coaches, faculty, and the administration. Academic Counselors provide timely reports and feedback on student-athletes' academic progress.
- UNC-Chapel Hill and NCAA eligibility. The ASPSA counsels students on issues related to UNC-Chapel Hill and NCAA eligibility requirements. Examples include degree applicable credit, travel, books, scholarships, and tutoring (for example, hiring a private tutor.)

The ASPSA is housed in the Loudermilk Center for Excellence, which serves all student-athletes across 28 varsity sports. The Loudermilk Center features the John W. Pope Student-Athlete Academic Support Center, which is equipped with state-of-the-art classrooms, study lounges, office space, and a computer laboratory.

Overview of Academic Support Services Provided by the Athletics Department

As noted above, student-athletes benefit from the same academic support services provided by the University for all students, including those provided by the Academic Advising Program (AAP). Both AAP and ASPSA ultimately report to the Executive Vice Chancellor and Provost, who serves as the chief academic officer of the University.

In addition to these services overseen by the Provost, the Department of Athletics Student-Athlete Development Office provides academic content woven into a broader set of student development and leadership opportunities. For example, excellence in academics is a prominent component of the CREED and SCORES programs. Carolina CREED (**C**ulture, **R**espect, **E**xcellence, **E**xcel, **D**evelop) is the first-year component of the Baddour Carolina Leadership Academy. The Department of Athletics requires all first-year student-athletes to participate in CREED. Student-athletes attend monthly

meetings with their mentors and invited guests. These meetings focus on the five elements of the CREED and provide educational information, a supportive environment, and small group discussions. While no academic credit is offered for participation, student-athletes learn valuable leadership skills.

The SCORES program (**S**ummer **C**ollege **O**pportunities for **R**ealizing **E**ducational **S**uccess) is a workshop organized by the Department of Athletics for first-year football student-athletes that provides an introduction to academic and student life at UNC-Chapel Hill. The workshops are held in the summer session immediately before the first fall semester and include seminars on classroom behavior and academic expectations, exploring a major, Honor Court, budgeting, NCAA Compliance, public safety, and community service.

A list of [personal, academic, and leadership development programs](#) offered by the Department of Athletics is available here.

In July 2014, Chancellor Carol L. Folt and Director of Athletics Bubba Cunningham launched [Complete Carolina](#), an enhanced degree-completion program that honors former student-athletes' scholarships for life. This program provides financial support for degree completion, as well as academic advising and career counseling, to former student-athletes who return to complete their degrees at any time. The Department of Athletics is funding this initiative as part of a new collaborative academic effort with the ASPSA, the Academic Advising Program (AAP), and other academic support services. (See also [Comprehensive Standard 3.2.11 \(Control of Intercollegiate Athletics\)](#) for more information about Complete Carolina.)

Effectiveness and Integrity of the Student-Athlete Support Services Process and Evidence of Institutional Accountability

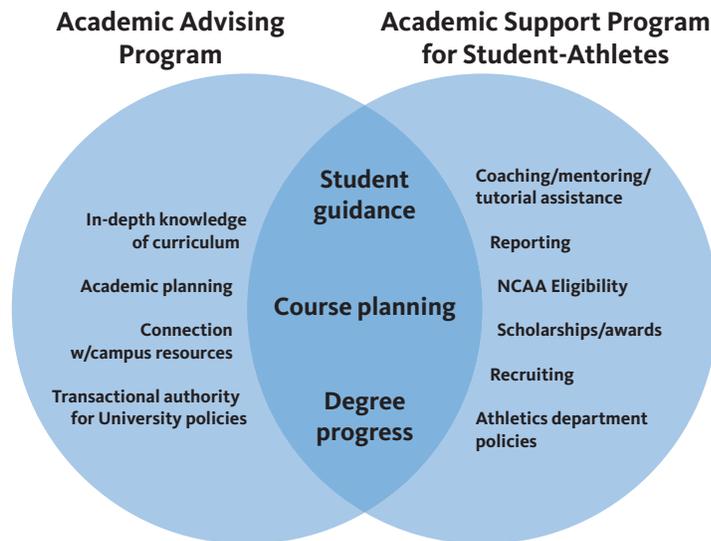
The University uses multiple methods to evaluate the effectiveness of the student-athlete support services process and to monitor and protect its integrity. The results of these monitoring procedures are systematically reviewed to determine adherence with University policies and to promptly address any observed variances. UNC-Chapel Hill is accountable under UNC system regulations to report any findings to the system and to make them available publicly.

Effectiveness of the Student-Athlete Support Services Process

UNC-Chapel Hill's student-athlete support services aim to ensure that student-athletes have access to high-quality academic support services that will help them achieve their educational goals. The University maintains the integrity of these services through the interaction and joint oversight by numerous campus offices that support student-athletes.

The student-athlete academic support services process at UNC-Chapel Hill is a collaborative effort among several units, led by the AAP and the ASPSA, with supplemental support from the Department of Athletics and other campus units. Each office has a unique focus in supporting academic success of student-athletes, as described in earlier sections of this response. The diagram below describes responsibilities of the AAP and ASPSA, both individually and jointly, in meeting the goals of delivering student guidance, course planning, and monitoring progress toward the degree.

Expertise & Collaboration: Serving Student-Athletes



Efforts to enhance communication and coordination between these offices to create joint programming and seamless academic advising services have been effective in improving both the quality and the integrity of the academic support provided to student-athletes. Some examples of these initiatives are described below.

Improving Student-Athlete Access to Academic Advising

In response to recommendations from multiple reports, the AAP was charged with strengthening the academic advising experience for all student-athletes from orientation through graduation.

In fall 2013, the University implemented a policy requiring all General College and College of Arts and Sciences student-athletes (approximately 90% of all student-athletes) to meet with an advisor in AAP at least once per semester to review their program of study, choose courses, plan for their academic major or majors, and monitor their progress toward degree completion. Student-athletes are the only undergraduate group required to meet with a College academic advisor each semester. In addition to the direct benefits of more frequent advising for each student-athlete, this policy helps assure the integrity of the academic support process by building in a term-by-term examination of the student's course-taking patterns. The policy also covers provides oversight in the selection of courses and an opportunity to spot academic difficulties the student might be experiencing to guide them to appropriate resources, such as the Writing Center or subject-specific tutoring. The AAP has assigned a dedicated advising team of four experienced professionals to work with student-athletes. The AAP has also created a satellite advising office in the Loudermilk Center for Excellence that offers evening hours to make it more convenient for student-athletes to access their services. The AAP advisors also hold drop-in hours there during the first week of class and during peak registration times. Student-athletes receive a common e-mail address (advisingforstudentathletesAAP@unc.edu) to communicate with the AAP student-athlete advising team.

The ASPSA has contributed to the implementation of the new academic advising requirements for student-athletes in several ways. Examples include:

- Helping AAP identify incoming first-year student-athletes who will enroll during the summer session before their first fall semester so they can receive timely advising,
- Partnering with AAP to offer special sessions at New Student Orientation to address the unique demands on student-athletes, and
- Arranging for AAP student-athlete advisors to attend team meetings to inform students about the academic resources available on campus and to coordinate academic advising appointments with AAP advisors

In turn, AAP advisors provide training and regular consultation with the ASPSA staff on academic policies and procedures. New ASPSA academic counselors undergo AAP-led training about the requirements of the undergraduate curriculum. An assistant dean in AAP regularly attends ASPSA staff meetings to provide ASPSA Academic Counselors with updates on academic policies and procedures and to discuss best practices.

Evidence of Institutional Accountability

A number of policies and monitoring procedures have been put in place in the last three years to assure academic integrity at UNC-Chapel Hill. Many of these changes had direct implications for the University's academic support processes for student-athletes. The results of monitoring activities are systematically reviewed to determine adherence with University policies and promptly address any observed variances. The University also undertakes other reviews to assess progress in student-athletes academic performance and degree completion rates.

Two examples that provide evidence of the University's enhanced accountability efforts are the required reports on academic integrity submitted annually to the UNC Board of Governors and the recent launch of the [Carolina Commitment](#) website, which provides updates on UNC-Chapel Hill reform initiatives.

In 2013, the UNC Board of Governors approved and implemented Academic Integrity Policy 700.6.1, which requires that each university provide evidence of its compliance with a series of practices and standards to ensure integrity. Each requirement was modeled on UNC-Chapel Hill's monitoring procedures implemented in response to recommendations in the multiple reports and investigations conducted since 2011. The [2013 UNC-Chapel Hill Academic Integrity Report](#) to the Board of Governors is provided here. The reporting requirements related to student academic support services include:

- Review of student-athlete clustering in individual courses,
- Review of majors taken by student-athletes compared to non-athletes,
- Review of grade-point averages of student-athletes compared to non-athletes,

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- Procedures for notifying both the academic advisors and ASPSA staff of any changes to course schedules after the drop/add period and/or changes made to course grades,
- Review of student schedules and course registrations to ensure that student-athletes are enrolling in individualized instruction according to established guidelines and academic policies, and
- Review of trends in Graduation Success Rate reports provided to the NCAA.

The University launched the Carolina Commitment website in April 2014 to keep the campus community and public informed about academic reforms and actions under way to ensure academic irregularities do not occur again. The website highlights actions, initiatives, and updates about progress in “Advising and Support,” “Academic Excellence and Accountability,” and other sections. [See also the response to [Comprehensive Standard 3.2.11](#) (Control of Intercollegiate Athletics) for details about the Carolina Commitment website.]

Update on Additional Strategic Initiatives Developed by the ASPSA in 2013

During the 2010-11 academic year, the University conducted a strategic planning process for the ASPSA. The strategic plan, described in a [report released in September 2011](#), examined ways of better serving the need of student-athletes. Since 2013, the ASPSA has implemented multiple strategic initiatives to address the academic support needs of student-athletes. Several of those initiatives are described in other sections of this response: collaboration with the College of Arts and Sciences Academic Advising Program (see previous section) and continued enhancements of the Tutoring Program (see next section). Other strategic initiatives include: (1) enhancement of the ASPSA Learning Specialist services, (2) creation of the My Academic Plan Program (MAP), and (3) developing relationships with advisory committees.

Learning Specialist Services

The Learning Specialist Unit was created as part of ASPSA’s reorganization to better define and target services to meet the needs of student-athletes. In summer 2014, ASPSA hired an Associate Director/ Learning Specialist to manage the newly expanded three-member staff, which worked with 38 student-athletes during the fall 2014 semester.

Learning specialists provide coaching on time management and academic skill building, and also work one-on-one with academically at-risk student-athletes and those who have been diagnosed with a learning disability. ASPSA assigns students to work with a Learning Specialist based on need. The Learning Specialists also assist with tutor training to provide instruction in reading and writing, coordinate the two-member Graduate Learning Assistant Program, and coordinate psychoeducational screening and testing for identification of learning disabilities and assigned services. Learning Specialists also support student-athletes who are not experiencing difficulties with their academic work but who want to improve their academic skills and become even better students.

My Academic Plan Program

Launched in fall 2013, the My Academic Plan (MAP) Program is designed to help student-athletes work with their academic counselors to develop an individualized academic plan based on their needs, academic preparedness, and course and major requirements. The program includes all incoming student-athletes (first-years and transfers), all returning student-athletes with a cumulative grade-point average of less than 2.50, and any student-athletes with UNC-Chapel Hill or NCAA academic eligibility issues. The program currently serves approximately 300 student-athletes each semester.

Counselors begin working with new student-athletes as they transition to UNC-Chapel Hill, teach student-athletes how to balance the demands of athletics, focus on building effective study skills, and foster self-reliance and independent learning.

A MAP may include the following components: individual weekly meetings with an academic counselor, academic counselor-led guided study hall, study hall hours, tutoring (group and individual sessions), and individual weekly meetings with a Learning Specialist and/or an assistant learning specialist.

An important component of the MAP involves the student-athlete's ongoing relationship and regular meetings with the Academic Counselor to identify goals, both for the semester and long term, and to monitor progress toward those goals.

ASPSA is in the early stages of developing reporting procedures to track program participants by semester, the number of tutoring appointments offered, the number of tutoring appointments missed and the use of a study hall room. Preliminary results do not yet provide clear evidence of the effectiveness of these efforts. However, some of this information has helped ASPSA administrators make practical decisions. For example, the independent study hall now opens one hour later and closes one hour earlier based on usage rates.

Establishment of Advisory Relationships

The ASPSA consults with several campus groups for advice regarding operations, policies, and procedures. The September 2011 ASPSA Strategic Planning Report recommended that the Advisory Committee to the ASPSA be revitalized. Subsequently, the Senior Associate Dean for Undergraduate Education appointed a committee for service in staggered terms. In fall 2013, responsibility for this committee transferred to the Provost, who appoints members of the committee from the faculty and staff in campus units that provide direct services to students.

The committee is comprised of:

- the Senior Associate Dean for Undergraduate Education (ex officio),
- the ASPSA Director (ex officio),
- the Admissions Director (ex officio),
- the Faculty Athletics Representative (ex officio),

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- the Faculty Athletics Committee Chair (ex officio),
- the Senior Associate Athletics Director with responsibilities for Compliance (ex officio),
- the Associate Dean and Director for CSSAC (ex officio), and
- Appointed faculty members (seven).

The ASPSA Advisory Committee meets twice per semester and provides program- and policy-level advice to the Academic Support Program for Student-Athletes. The committee has intentional overlap with members of Faculty Athletics Committee and the Faculty Athletics Representative, who give reports to the ASPSA Advisory Committee on a regular basis. Since fall 2013, the Advisory Committee has provided perspective on topics including proctoring of exams, faculty involvement in annual academic awards events, and the infractions policy for missing tutoring sessions.

The Faculty Athletics Committee (FAC) is an elected standing committee of the General Faculty. Members of the FAC serve in staggered terms and meet monthly. The FAC plays an advisory role to the Department of Athletics, as well as an oversight role on behalf of faculty interests. The FAC Charge states:

“The Faculty Athletics Committee is concerned with informing the faculty and advising the chancellor on any aspect of athletics, including, but not limited to, the academic experience for varsity athletes, athletic opportunities for members of the University committee, and the general conduct and operation of the University’s athletics program” ([Faculty Code § 4-7\[b\]](#)).

Like the ASPSA Advisory Committee, the FAC provides advice to the Academic Support Program for Student-Athletes and provides faculty perspectives to the ASPSA regarding its policies and practices. Both the Chancellor and the Faculty Athletics Representative sit on the FAC as ex-officio members, and the Senior Associate Director of Athletics and the Director of the ASPSA serve on the committee as advisors.

The Faculty Athletics Representative, the Senior Associate Director of Athletics, and the Director of the ASPSA also serve on the Student-Athlete Academic Initiative Working Group with the Provost, the Director of Athletics, the Director of Admissions, three additional faculty members (one from the School of Business and two from the College of Arts and Sciences), and a consultant from the Provost’s Office. Since its inception in 2013, the Working Group also has played an important role in providing recommendations to the ASPSA. In its efforts to document and understand all student-athlete academic processes, assess these processes, and make necessary changes, the Working Group has worked closely with the ASPSA to clarify a number of policies and processes. These include academic assessment and evaluation of student-athletes; advising requirements for student-athletes; priority registration for student-athletes; travel letters, excused absences and proctoring of exams; tutor selection and training; and certification of eligibility.

Effectiveness of Policies Related to the Hiring, Training, and Oversight of Academic Tutors for Student-Athletes

Over the past few years, the Tutor Program has been the focus of multiple policy changes and reforms. These include providing more education to tutors and student-athletes about the appropriate levels of assistance and use of tutoring services, establishing minimum academic qualifications for a tutor, and increasing oversight of tutoring sessions. The changes are intended to decrease the possibility that any improper assistance could occur and, in the event that it did, that it would be discovered and addressed as quickly as possible.

Previously, a Tutor Coordinator was assigned to only work in the Tutor Program and not take on any additional duties. As the Tutor Program has evolved and tutoring has increased, that assignment has changed. The Tutor Coordinator now has the responsibility of working with one sports team program. As part of the reorganization, ASPSA created a new position, Assistant Tutor Coordinator. This new hire now assists the Tutor Coordinator and also works with a different sports team program. This change has improved the effectiveness of the Tutor Program staff. With two people managing the program, oversight has increased and these staff can observe more tutor sessions. Their presence during evening hours has doubled, and there is no lapse in service when one of them is unavailable.

The Tutor Coordinator and Assistant Tutor Coordinator manage the assignments and appointments of approximately 90 part-time tutors. These tutors are alumni, graduate students, educators, and other members of the Chapel Hill community with at least a bachelor's degree (some have graduate degrees) and experience in a variety of fields. Access to tutoring has increased for all student-athletes since fall 2013 as a result of the additional staff resources. The number of appointments offered has more than doubled compared with the 2012-13 academic year. Those gains reflect tutoring provided to student-athletes with a grade-point average of 2.5 or higher and additional assignments made as part of the MAP Program.

Following is a summary of the key current policies related to the Tutor Program:

- **Qualifications.** All ASPSA tutors must have completed an undergraduate degree. Exceptions to this policy must be approved by the ASPSA Director. As an example, in 2013-14, ASPSA employed one undergraduate tutor with expertise in Wolof, due to the scarcity of individuals with a command of that language.
- **Initial Training.** Tutors must participate in a minimum of four hours of training before working with student-athletes. Tutors receive a *Tutor Manual*, which explicitly details guidelines for providing appropriate help to students. Upon completion of training, tutors are required to sign an [“Academic Honesty and Confidentiality Agreement.”](#) (ASPSA 13).
- **Ongoing Training.** ASPSA provides additional tutor training throughout the semester to review policies and discuss practical application of tutor protocol. An additional level of training is provided to writing tutors by the ASPSA Reading and Writing Specialist. [See also [ASPSA 16A through 16C](#) and [Comprehensive Standard 3.9.3 \(Qualified Staff\)](#)].

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- **Supervision.** All tutors are observed by an ASPSA staff member at least twice a year. An official observation of a tutoring session occurs every semester to ensure that the tutor covers material effectively and for adherence to tutoring policies. For the fall 2014 semester, approximately 79% of the tutors were observed and received feedback. In spring 2015, ASPSA will use a new schedule to track tutor observations in an effort to increase completed tutor observations. ASPSA administrators consider general feedback from the observations when making improvements to the training sessions. For example, spring 2014 tutor training incorporated scenarios developed from these observations to provide additional reinforcement of the critical elements of tutoring student-athletes.
- **Student-Athlete Use of Tutors.** Each student-athlete is required to read and sign the [“Student Tutor Usage Agreement”](#) (ASPSA 20), regardless of whether he or she needs a tutor at that time. Student-athletes who wish to hire private tutors must sign a “Private Tutor Information” form that discloses how much they have agreed to pay the tutor. The private tutor must also complete the initial four hours of training offered by the ASPSA to ensure compliance with NCAA regulations.
- **Restrictions on Tutoring Sessions.** All tutoring sessions must occur in the Loudermilk Center for Excellence, according to the schedule established by the Tutoring Program staff. Additional sessions must be approved by the tutorial staff. Student-athletes and tutors may not communicate outside of Loudermilk, including by phone or email.
- **Documentation of Tutoring Sessions.** After each tutoring session a tutor completes a session description form that describes what was covered during the session and any comments on the student’s performance or behavior. Tutoring notes are reviewed by the Tutor Program staff and academic counselors to monitor student progress, as well as to evaluate the tutor’s performance and adherence to rules.
- **Student-Athlete Evaluation of Tutor.** At the end of the semester, the ASPSA administers an anonymous online survey to student-athletes who participated in the tutoring program. Student-athlete ratings of the overall effectiveness of their tutors averaged 4.54 out of a possible 5.0. Comments from these surveys have indicated that continuous discussions with student-athletes about expectations for their tutoring appointments and a presentation at the beginning of the semester would be beneficial. ASPSA staff are considering different strategies to convey the proper message.
- **Tutor Compliance with Academic Integrity Rules.** At the end of the semester tutors must sign the [“Academic Honesty Testimonial”](#) and [“Academic Integrity Statement Addendum”](#) to confirm that they did not participate in or observe any UNC-Chapel Hill or NCAA violations related to academic integrity. (ASPSA 14A & 14B).

- **Tutor Evaluation of Tutoring Program.** Tutors also complete an anonymous online evaluation of the tutoring program at the end of each semester. Overall, those results show tutors are pleased with their experience, rating it a 4.13 out of a possible 5.0. Based on comments from these responses, ASPSA staff are exploring improvements to the appointment cancellation process.
- **End of Employment Agreement.** The ASPSA sends tutors a letter at the end of their employment reminding them of their obligation to continue compliance with UNC-Chapel Hill and [NCAA policies governing student-tutor interaction](#) (ASPSA 15).

Effectiveness of the Move of the ASPSA from the College of Arts and Sciences to the Office of the Executive Vice Chancellor and Provost

In conjunction with the hiring of a new Director in May 2013, the reporting line for the ASPSA organization was moved from the College of Arts and Sciences to the Office of the Executive Vice Chancellor and Provost. The ASPSA Director position was upgraded to Assistant Provost, reporting directly to the Provost.

The goals of having the ASPSA Director report to the University's chief academic officer were two-fold: (1) to increase accountability by strengthening academic oversight of ASPSA, and (2) to provide ASPSA with the support needed to ensure the academic integrity and quality of the education provided to student-athletes at UNC-Chapel Hill. This move has resulted in a number of positive outcomes to date, which are described below.

The change in reporting lines has been very effective by increasing accountability through more frequent formal and informal interactions between the ASPSA Director and the Provost. The Director participates in the Provost's biweekly Cabinet meetings to provide updates of ASPSA activities. The Provost also holds regular one-on-one meetings with the ASPSA Director for supervision, planning, identification of concerns, and problem-solving. The Director's annual performance review for fiscal year 2013-14 was conducted by the Provost using information gathered through a "360 degree" survey that solicited feedback from the Director's peers and supervisees, the Director's self-assessment report, and his own observations of her success in achieving the goals of the unit.

The increased communication allows for stronger ongoing oversight of ASPSA and provides the Provost with opportunities to address concerns in a timely manner, making it less likely that serious problems could occur unnoticed. For example, beginning in spring 2015, the University's class schedule has been slightly adjusted to allow students more time in between classes. As a result, student-athletes in some sport programs may lose one possible time slot to take classes. After conferring with the Provost, this issue was presented to the Student-Athlete Academic Initiative Working Group (see below) for additional discussion and consideration.

The change has also been effective in facilitating achievement of the second goal. Moving the organization and elevating the ASPSA Director's position to the level of Assistant Provost sent a message to the campus community and its constituents about the importance UNC-Chapel Hill's leadership places on the academic success and well-being of student-athletes. The increased visibility

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of the ASPSA has contributed to a greater awareness by faculty of the challenges student-athletes face in managing their dual obligations to their academics and their sports. More deliberate integration of the ASPSA director into campus dialogues among faculty, administrators, and students about student-athletes has allowed her to gain a better appreciation of their questions and concerns and consider how to increase and promote transparency. In addition, the Director has become part of the University's senior leadership team, speaking on behalf of the University publicly about the academic reforms in ASPSA in a campuswide context. For example, the Director co-authored an [opinion-editorial column](#) in a major North Carolina newspaper about improvements in academic support for student-athletes at UNC-Chapel Hill.

The ASPSA Director plays a major role in one of the administration's most important campuswide initiatives to enhance the relationship between academics and athletics: the Student-Athlete Academic Initiative Working Group, co-chaired by the Provost and Athletics Director. The Working Group is tasked with examining all academic processes that affect student-athletes throughout their entire University experience. The initiative was launched at the same time process improvement initiatives were already under way in the ASPSA and the Office of Undergraduate Admissions. [More information on the Working Group is provided in the [response to Comprehensive Standard 3.2.11](#) (Control of Intercollegiate Athletics)].

The ASPSA Director is one of five non-faculty members serving on the 10-member Working Group. She is one of three representatives from the Office of the Executive Vice Chancellor and Provost.

The Working Group's efforts have included examining each recommendation in the [2011 Academic Support Program for Student-Athletes Report](#) to compare those suggestions with a corresponding academic process.

Of the 21 specific academic processes related to student-athletes being analyzed by the Working Group, several are directly related to the expanded work of the ASPSA. Those include orientation and summer programs for incoming student-athletes, the Summer Bridge program, advising, registration, resources for student-athletes with disabilities, and academic performance monitoring. The completion of the Working Group's activities later this year will have important implications for additional enhancements to the focus and scope of the ASPSA moving forward.

Next Steps

Over the next few months, the University will continue to implement that changes identified above, and to monitor their effectiveness. Additional changes based on the ongoing deliberations of the Working Group, the FAC, and other groups will also be made as necessary, and their effectiveness assessed. This process of assessment of current results, making changes, and monitoring their effectiveness will continue indefinitely.

Conclusion

The University takes very seriously its responsibility for providing effective academic support services for all students, including student-athletes. Based on the findings of various investigations, the University has implemented a great number of enhancements to advising processes over the past few years, and additional changes continue to be implemented. Taken together, these changes, building on the policies and programs already in place, will ensure that all students receive the advising they need to achieve academic success at UNC-Chapel Hill.

References

[Academic Plan](#)

[First-Year Seminars](#)

[Undergraduate Research Opportunities](#)

[Honors Programs](#)

[Academic Advising Program](#)

[Office of Undergraduate Retention](#)

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

[The Writing Center](#)

[The Learning Center](#)

[Summer Bridge](#)

[Peer Tutoring Programs](#)

[Peer Mentoring](#)

[Minority Male Program](#)

[Director of Undergraduate Studies](#)

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

[Personal, academic, and leadership development programs offered by the Department of Athletics](#)

[Complete Carolina](#)

[Carolina Commitment](#)

[2013 UNC-Chapel Hill Academic Integrity Report](#)

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[Faculty Code § 4-7\[b\]](#)

[Academic Honesty and Confidentiality Agreement](#)

[ASPSA 16A through 16C](#)

[Student Tutor Usage Agreement](#)

[Academic Honesty Testimonial](#)

[Academic Integrity Statement Addendum](#)

[ASPSA Letter to Tutors at End of Employment](#)

[2011 Academic Support Program for Student-Athletes Report](#)

[ASPSA Director/Undergraduate Admissions Director Opinion-Editorial Column](#)

Comprehensive Standard 3.7.2 Faculty Evaluation

SACSCOC Request for Information Related to this Standard

The institution regularly evaluates the effectiveness of each faculty member in accord with published criteria, regardless of contractual or tenured status.

In the November 13, 2014, letter from SACSCOC, the University of North Carolina at Chapel Hill was asked to explain and document the extent of its compliance with this standard by addressing the following specific requests for information:

The institution is requested to describe the policies, procedures and practice for all faculty evaluation activity. Provide samples of Chair evaluations from across the institution and also provide reliable samples from the African, African American, and Diaspora Studies program. Provide evidence that the system of faculty evaluation is effective for ensuring the quality of the academic program.

Summary

Regular faculty member evaluation according to published standards is critical to the success of a university. The University recognizes that a key factor that led to the occurrence of the irregularities in the AFAM department was the lack of evaluation of the department chair's performance, which occurred despite the fact that these reviews were taking place elsewhere at the University. This section of our response will explain our current practices and reforms in the area of faculty evaluation, which ensure that high standards of instruction and integrity are maintained.

- The University's faculty are held to high standards in order to maintain the University's commitment to academic excellence and integrity.
- Tenure is conferred only upon faculty who have been carefully evaluated and demonstrated a commitment to the University's mission and community.
- The University has implemented or is in the process of implementing several reforms regarding faculty evaluation and oversight to ensure its high standards of instruction and integrity are maintained and rewarded.

Actions

The University employs a broad and comprehensive array of mechanisms to evaluate faculty performance in a way that informs and improves the quality of academic programs. In the past, these policies were not always followed, and this inconsistent adherence to policy contributed to the academic irregularities that were the subject of the Wainstein report. In the years since the

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irregularities were discovered, the University has redoubled its efforts to ensure compliance to existing policies, and created new policies where necessary. These policies are summarized in the following sections.

Provisions of the Board of Trustees' Policies and Regulations Governing Academic Tenure

The Tenure Policy is grounded in the Code of the UNC Board of Governors, which dictates baseline requirements for academic freedom, promotion, and tenure that each constituent institution, including UNC-Chapel Hill, must observe and implement. Regarding faculty evaluation, the Tenure Policy provides that conferral of tenure by the University “requires an assessment of institutional needs and resources and evidence of service to the academic community, potential for future contribution, commitment to the welfare of the University, and demonstrated professional competence, including consideration of commitment to effective teaching, research or public service.” (Tenure Policy, Section 2.a., p. 2.) Each initial appointment for a fixed, probationary or tenured position, each promotion in rank, and each reappointment of an instructor, assistant professor or associate professor must take into account “the demonstrated professional competence and the potential for future contribution of the faculty member....” (Tenure Policy, Section 2.c. (1), p. 6)

Samples of evaluations conducted during the 2013-14 academic year in the College of Arts and Sciences of tenure-track faculty for reappointment, for promotion to associate professor with tenure, and for promotion of associate professors to full professor are attached. Since none of these types of personnel actions occurred in the Department of African, African American, and Diaspora Studies (AAAD) during 2013-2014, the samples illustrate comparable personnel actions in this unit during 2012-2013.

Policy on Performance Review for Tenure-Track Faculty

This policy applies to tenure-track faculty. Unit heads are expected to meet annually with every untenured faculty member to evaluate past performance and assign the duties he or she is expected to fulfill over the next year. The dean's office of the respective unit should be notified that the evaluation meeting has taken place. A written record of the conversation should be placed in the faculty member's personnel file. [Samples of academic year 2013-2014 annual evaluations for AAAD untenured tenure-track faculty can be viewed here.](#)

Policy on Performance Review for Fixed-Term Faculty

Fixed-term faculty members are evaluated annually for consideration of merit salary increases. They are also evaluated as part of a department review and vote and recommendation by the department chair for their contract renewal. [Samples of 2013-2014 academic year evaluations of fixed-term faculty in AAAD being considered for contract renewal may be viewed here.](#)

Each unit in the College of Arts and Sciences with full-time lecturers has established “[Procedures Governing the Promotion of a Lecturer to Senior Lecturer.](#)” Similarly, each unit has established “Procedures Governing the Promotion of a Senior Lecturer to Teaching Professor.” [See also the response to [Comprehensive Standard 3.2.9 \(Personnel Appointment\)](#) for additional information about employee evaluation practices.]

Post-Tenure Review Policy

The UNC system's long-standing Post-Tenure Review Policy mandates a thorough, systematic evaluation of the performance of all faculty members with permanent tenure and whose primary duties are teaching, research, and/or service. Each faculty member is subject to post-tenure review no less than every five years, and the review examines all aspects of the faculty member's academic performance and must involve faculty peers. Based on the unit's written policies and procedures describing expectations of its faculty, each review identifies and recognizes outstanding performance by the faculty member, but also may identify areas in which the faculty member needs to demonstrate improvement. In those latter cases, recommendations and plans for improvement are required. When a faculty member demonstrates serious performance deficiencies, the unit must create an individualized development plan for that faculty member. The development plan includes:

- Clear goals for performance improvement,
- Specific steps designed to achieve those goals,
- Defined indicators of goal attainment,
- A clear and reasonable time frame for the completion of goals,
- Identification of any resources available for implementation of the plan, and
- A statement of the consequences of failure to attain the goals.

To ensure progress and compliance with the development plan, the unit head (generally a department chair) must meet regularly and at least semi-annually, with the faculty member and must conduct annual progress evaluations. Faculty members who fail to complete a development plan successfully and whose performance continues to be deficient are subject to disciplinary action, up to and including discharge for cause.

[Sample post-tenure review reports for AAAD faculty members conducted during the 2013-2014 academic year may be viewed here.](#)

Academic Integrity Regulations (including review of department chairs)

The UNC Board of Governors' Policy 700.6.1[R], adopted in April 2013, requires that each constituent institution "have criteria and processes to ensure the regular review and evaluation of all aspects of performance of department chairs." An explanation of the chair review process in the College of Arts and Sciences, as well as copies of the [evaluation materials and approvals for a sample of department chairs including AAAD for the 2013-2014 academic year, can be viewed here](#). UNC Chapel Hill is in compliance with this policy, which means that all department chairs in the university are reviewed annually. A [staggered schedule](#) has been established for each of the chairs in the College.

COMPREHENSIVE STANDARD 3.7.2

Faculty Evaluation

Faculty Workload Policies

Board of Governors' Policy

The UNC Board of Governors requires each constituent institution to develop and implement policies and procedures to monitor faculty teaching loads and to approve significant or sustained variations from expected minimums. The board recognizes that evaluating faculty performance is appropriately intertwined with monitoring workload:

In order to appropriately monitor and reward faculty teaching, evaluations must be placed in the context of total faculty workload. Therefore, all campuses and constituent institutions shall implement annual faculty performance evaluation policies that measure and reward all aspects of faculty workload, separately and in combination, consistent with the instructional mission.

More specifically, Policy 400.3.4 hones in on teaching as an essential component of faculty performance:

The board's intent is that measures described in the previous section will lead to personnel policies and decisions that take due account of each faculty member's contribution to the undergraduate teaching mission of the institution. The President and the board are concerned that faculty be rewarded both for the quantity and even more for the quality of teaching.

Policy 400.3.4 was substantially revised in 2013 and constituent institutions were directed to submit revised Faculty Workload Policies to the President for approval by September 30, 2014.

UNC-Chapel Hill Faculty Workload Policy (September 2014 Draft—Pending Approval by UNC General Administration)

UNC-Chapel Hill's draft Faculty Workload Policy, once implemented, will require each school to implement annual faculty performance evaluation policies and procedures "that measure and reward all aspects of faculty workload, separately and in combination." These reviews may be conducted in conjunction with already established evaluations for untenured and tenured faculty. In the College of Arts and Sciences, department chairs currently carry out an annual workload review for each faculty member. This analysis is conducted to look for any unusual courseload patterns such as underloads or overloads that have not received prior approval. Each departmental annual workload report is then reviewed and approved by the appropriate divisional Senior Associate Dean. [An example of the approved workload review for AAAD can be viewed here.](#)

Faculty Compensation Plans of Individual Schools

Several of the University's professional schools have implemented faculty compensation plans that provide for incentive compensation based on productivity. These include:

- The School of Medicine Clinical Faculty Compensation Plan,
- The School of Medicine Basic Science Faculty Compensation Plan,

- The Eshelman School of Pharmacy Faculty Salary Policy, and
- The Kenan-Flagler Business School Faculty Compensation Plan.

Each of these plans require at least annual evaluation of covered faculty members on productivity and performance in teaching, research, clinical duties (as applicable), and citizenship/service. The School of Medicine Clinical Faculty Compensation Plan uses objectively verifiable criteria to evaluate and reward clinical productivity.

Next Steps

Many of the changes detailed in this section, whether they are to ensure compliance with existing policies, or to create new policies, have been made in the past few years. The next steps in this area will be to continue to monitor adherence to both sets of policies, and to introduce additional policies when and if they are found to be necessary.

Conclusion

In the years since the academic anomalies were discovered, the University has made great progress in ensuring compliance to existing policies regarding faculty evaluation, and creating new policies where they were needed. The examples of reviews included in this section show that current policies are robust and comprehensive, and most important, followed. The University is confident that the gaps in faculty evaluation that allowed the irregularities to occur have now been successfully closed.

References

[Sample 2014 Annual Evaluations for Tenure-Tack Faculty in AAAD](#)

[Sample 2014 Annual Evaluations for Fixed-Term Faculty in AAAD](#)

[Procedures Governing the Promotion of a Lecturer to Senior Lecturer in AAAD \(2010\)](#)

[Sample 2013-14 Post-Tenure Reviews of AAAD Faculty](#)

[Instructional Workload Review Report for AAAD \(2013-14\)](#)

[College of Arts & Sciences Chairs' Review & Sample Annual Reports](#)

Comprehensive Standard 3.7.4 Academic Freedom

SACSCOC Request for Information Related to this Standard

This standard expects an institution to ensure adequate procedures for safeguarding and protecting academic freedom.

In the November 13, 2014, letter from SACSCOC, the University of North Carolina at Chapel Hill was asked to demonstrate compliance with this standard by addressing the following specific requests for information:

The institution is requested to define and provide current policies and practices related to academic freedom. Demonstrate how the application of the policy plays a role with regard to responsibility for academic integrity. Identify the elements in the institution's definition of academic freedom that excuses faculty from accountability for academic integrity and creates barriers for faculty and staff reporting academic irregularities.

Summary

Adequate procedures for safeguarding academic freedom are essential for creating an environment conducive to high-quality research and learning. This section will demonstrate that Carolina's definition of academic freedom embraces the concept of freedom of inquiry while holding faculty accountable for academic integrity.

- The University holds faculty to high standards of integrity, and has implemented oversight policies to ensure that faculty maintain these high standards.
- The Chancellor has placed an affirmative duty on members of the University community to hold each other accountable and speak out if they suspect deviation from the University's mission and goals.

Actions

The Wainstein report invokes the principle of academic freedom to explain that the University's significant delay in discovering the academic irregularities that are the subject of the report. While the University indeed has strong policies to safeguard academic freedom, these policies should never have been construed to interfere with the University's responsibilities to ensure academic integrity. (In fact, it is equally likely that the shortcomings were simply the result of the weakness of administrative policies in place at the time, rather than an issue of interpretation of academic freedom.) This section outlines UNC-Chapel Hill policies on academic freedom and integrity, and demonstrates the commitment of University leadership to both principles, and to the lack of conflict between them.

The University has policies at several levels that guarantee academic freedom. As a constituent institution of the University of North Carolina, UNC-Chapel Hill's policies and practices on academic freedom are guided by *The Code of the University of North Carolina*, particularly [“Sections 600 and 601 in Chapter VI, “Academic Freedom and Responsibility.”](#)

In addition, UNC-Chapel Hill policies on academic freedom are outlined Section 1 of the [“Trustee Policies and Regulations Governing Academic Tenure in the University of North Carolina at Chapel Hill.”](#)

The UNC System Code states and the UNC-Chapel Hill Trustee policy reaffirms support and encouragement for “freedom of inquiry for faculty members and students, to the end that they may responsibly pursue these goals through teaching, learning, research, discussion and publication, free from internal or external restraints that would unreasonably restrict their academic endeavors.”

Academic Integrity

The policies that “demonstrate how the application of the policy plays a role with regard to responsibility for academic integrity” are outlined in [UNC Code, Chapter VI, Section 603: “Due Process Before Discharge or the Imposition of Serious Sanctions.”](#) This section outlines how a faculty member can be discharged from employment, suspended, or demoted in rank for reasons of incompetence, neglect of duty, or misconduct “of such a nature as to indicate that the individual is unfit to continue as a member of the faculty, including violations of professional ethics, mistreatment of students or other employees, research misconduct, financial fraud, criminal or other illegal, inappropriate or unethical conduct.” The section also outlines the procedure for sanction, including the role of the chief academic officer and mechanisms of appeal.

In addition, the specific procedures for sanction at UNC-Chapel Hill are outlined in Section 3 of the [Board of Trustees policy: “Suspension, Demotion, and Discharge of Faculty Members.”](#) This policy follows the guidelines outlined in Section 603 of the *UNC Code*.

All policies and procedures of the UNC Board of Governors and the UNC-Chapel Hill Board of Trustees are posted online in the Policies and Procedures section of the newly revised [UNC-Chapel Hill Faculty Handbook](#). See especially subsections on: “Academic Freedom and Due Process,” “Dispute Resolution Policies and Resources,” and “Professional Conduct and Ethics Policies and Resources.”

Based on these long-standing policies, it is fair to say that the University has in place strong mechanisms to safeguard academic freedom, while simultaneously maintaining a framework to address violations of academic integrity. University leaders do not see these two principles as being in conflict, as illustrated in the following section.

Chancellor Carol L. Folt, Executive Vice Chancellor and Provost James W. Dean, Jr., and other academic leaders have thoroughly reviewed the University's policies and procedures and do not believe that there are any elements that would “excuse faculty from accountability for academic integrity and create barriers for faculty and staff reporting academic irregularities.”

COMPREHENSIVE STANDARD 3.7.4

Academic Freedom

Since the discovery of the academic irregularities that prompted the Wainstein Report, the University has implemented numerous policies that clearly indicate that every faculty member is expected to behave with integrity, that the University is monitoring faculty behavior, and that steps will be taken to deal with any faculty member who is found not to behave with integrity.

While many of these policies are addressed in other sections of this response, following is a partial list of academic reforms most directly focused on enhancing the University's strong commitment to academic integrity:

- The University collects, reviews, and archives syllabi for every course. This policy ensures that each course offered has an appropriate level of structure and that the content is appropriate for a course at its level. See Comprehensive Standard 3.4.5 (Academic Policies) and Federal Requirement 4.9 (Definition of Credit Hours).
- Deans are responsible for confirming that faculty members meet their classes as listed in the course schedule. This policy guarantees that courses are being taught as indicated in the syllabus and have not been changed by faculty into independent study courses. See Federal Requirement 4.9 (Definition of Credit Hours).
- Faculty are limited to offering two independent study courses per semester. This policy ensures that faculty are not offering more independent study courses than could be offered at a high level of engagement and quality. See Comprehensive Standard 3.4.5 (Academic Policies).
- All independent study courses are required to have a written contract, and the contracts must be reviewed and approved in advance of the course. This policy ensures that independent study courses are designed with academic integrity. See Comprehensive Standard 3.4.5 (Academic Policies).
- Courses enrolling a concentration of student-athletes are flagged and reviewed to make sure that there is nothing irregular or inappropriate about the courses. See Comprehensive Standard 3.9.2 (Student Records).
- In the College of Arts and Sciences, instructional workload information for all faculty is reviewed each year by unit chairs and their divisional Senior Associate Deans. To further ensure that faculty and units in the College of Arts and Sciences maintain standard teaching assignments, the Dean's Office reviews faculty assignment data each spring for the previous fall semester and current spring semester.
- Department heads are reviewed annually, as are all faculty when there is an Annual Raise Process (ARP). Furthermore, all faculty are reviewed periodically through the Post-Tenure Review Process. More information on faculty evaluation processes are provided in Comprehensive Standard 3.7.2 (Faculty Evaluation).

In announcing the University's response to the Wainstein Report in October 2014, Chancellor Folt said it will no longer be acceptable for a member of the University community to say they did not know about a potential problem, or that it was not their responsibility.

Further, Chancellor Folt stated:

“Academic freedom does not mean freedom from accountability. Instead, I believe very strongly that we have to hold each other accountable and that’s not because we don’t trust each other. But by doing so, we can reward excellence and we can learn from feedback and most importantly we do this because integrity of the University is owned by all of us.” (Source: UNC-Chapel Hill Statement ([Transcript of News Conference](#)) October 22, 2014)

Executive Vice Chancellor and Provost Dean also addressed the relationship between academic freedom and academic integrity in comments to *The Daily Tar Heel*, the student newspaper, published on November 12, 2014. The Provost said that the academic policies and procedures instituted since the irregularities were discovered in 2011 do not interfere with a faculty member's academic freedom in the classroom. In the words of the Provost,

“One of the things that academic freedom means is the ability to do things that are unprecedented and creative. The kind of oversight we’re talking about doesn’t touch that kind of academic freedom at all. Academic freedom never has meant the freedom to not do your job or the freedom to do your job really badly.” [“After the Wainstein Report, UNC Balances Freedom with Oversight,” The Daily Tar Heel, November 12, 2014.](#)

University leaders firmly believe that the academic oversight necessary to ensure the integrity of the institution will not infringe upon the academic freedom of the University and its faculty.

Next Steps

In conjunction with the release of the Wainstein Report, Chancellor Folt also announced new initiatives that the University is taking in response to the findings, including the following:

- Establish a working group to ensure there are clear, consolidated, and confidential channels through which people can raise their hand and share concerns. The working group will also recommend how best to oversee the University's commitment to integrity and compliance with all applicable laws, regulations, and policies. More information on a new process developed by the Faculty Athletics Committee (FAC) for reporting issues of concern related to academic integrity and student-athletes is provided in Comprehensive Standard 3.7.5 (Faculty Role in Governance).
- Conduct an institution-wide policy and procedure audit that will allow the University to identify any remaining redundancies and gaps, and create a mechanism for periodic re-evaluation.

COMPREHENSIVE STANDARD 3.7.4

Academic Freedom

- Develop and implement an expanded process for the systematic, consistent evaluation and review of every unit and department. The Provost or appropriate director will be authorized to launch a special department review as needed.
- Take fact-based personnel actions, including terminating or commencing disciplinary action against nine University employees. Others implicated in the report include former University employees. [Press Release Regarding 2014 Independent Inquiry Press Conference](#) and [Dec. 31 UNC-chapel Hill regarding personnel records](#)

Conclusion

The principles of academic freedom and academic integrity are the pillars of high-quality academic institutions. UNC-Chapel Hill has strong policies at several levels supporting both principles. While a misunderstanding of the relationship between the two appears to have contributed to the persistence of academic irregularities, current University leaders have taken a clear and firm position that the principle of academic freedom can never be invoked to compromise academic integrity, and have implemented and are implementing changes to ensure unquestioned adherence to academic integrity.

References

The Code of the University of North Carolina, Chapter VI, “Academic Freedom and Responsibility.” [Sections 600 and 601 in Chapter VI, “Academic Freedom and Responsibility.”](#)

[Trustee Policies and Regulations Governing Academic Tenure in the University of North Carolina at Chapel Hill](#)

[UNC System Code, Chapter VI, Section 603: “Due Process Before Discharge or the Imposition of Serious Sanctions.”](#)

[Board of Trustees policy Section 3: “Suspension, Demotion, and Discharge of Faculty Members.”](#)

[UNC-Chapel Hill Faculty Handbook](#)

[“After the Wainstein Report, UNC Balances Freedom with Oversight,” *The Daily Tar Heel*, November 12, 2014](#)

[Press Release Regarding 2014 Independent Inquiry Press Conference.](#)

[Transcript of News Conference](#)

[Dec. 31 Statement on Personnel Records](#)

Comprehensive Standard 3.7.5 Faculty Role in Governance

SACSCOC Request for Information Related to this Standard

This standard expects an institution to publish policies on the responsibility and authority of faculty in academic and governance matters.

In the November 13, 2014, letter from SACSCOC, the University of North Carolina at Chapel Hill was asked to explain and document the extent of its compliance with this standard by addressing the following specific requests for information:

The institution is requested to provide its policies relating to faculty members' role in governance and how these policies delineate the responsibilities and authority of its faculty in academic matters. Within the framework of CS 3.7.5, what is the Faculty Athletics Committee's (FAC) authority in maintaining and protecting academic integrity? Detail the qualifications of those faculty members who are on the FAC and discuss the selection/appointment process. In addition, provide the name of the office with oversight responsibility for this Committee. Provide details on its authority in disseminating the "charge and/or goals" given to the FAC participants and how it determines the effectiveness of the Committee in meeting the "charge/goals" of the committee.

Summary

The University embraces a "shared governance" model whereby faculty have responsibility and authority in both academic and governance matters. For the past three years the University has recognized the Faculty Athletics Committee as having responsibilities for maintaining and protecting academic integrity for those students who participate in intercollegiate athletics. This section of the report will explain the authority of the faculty in regards to safeguarding academic integrity, and detail a number of significant reforms in faculty governance and in the monitoring the academic experience of student-athletes. It will also establish the qualifications of the members of the Faculty Athletics Committee and show how the election process ensures a qualified and effective committee.

- The University's faculty plays an essential role in helping the University achieve its mission and maintain its commitment to academic excellence and integrity.
- The University's Faculty Athletics Committee (FAC) works to enhance the academic experience of student athletes by collaborating with administration, faculty, students, and staff across the campus to monitor student-athletes' academic performance and overall University experience.
- The FAC continually seeks feedback from the Chancellor, faculty, students, and administrators to ensure it is working effectively to align the student-athlete academic experience with the University's mission.

Actions

The University of North Carolina at Chapel Hill has a long tradition of shared governance. Through an elected Chair of the Faculty, representatives on the Faculty Council, and standing faculty committees, the UNC-Chapel Hill faculty has a strong voice as advisers to the Chancellor and other administrators on the academic matters that lie at the heart of the University's mission.

Policies Relating to Faculty Members' Role in Governance and the Responsibilities and Authority of Faculty in Academic Matters

[*The Code of the University of North Carolina*](#), applicable to all constituent institutions of the UNC System, guides the faculty's role in governance. The *Code* requires that each system university have an elected faculty council, a chair of the faculty elected by the general faculty or the faculty council, and appropriate procedures "to provide the faculty the means to give advice with respect to questions of academic policy and institutional governance, with particular emphasis upon matters of curriculum, degree requirements, instructional standards and grading criteria."

The *Code* directs each university's chancellor to "define the scope of authority of faculties, councils, committees and officers of the institution." The chancellor "shall have the right to preside over the deliberations of any legislative bodies of the faculties," and in turn, "the council or senate may advise the Chancellor on any matters pertaining to the institution that are of interest and concern to the faculty."

The UNC-Chapel Hill [Faculty Code of University Government](#), adopted by the University's General Faculty in 1950, created an elected Faculty Council to legislate on the faculty's behalf and revised an older system of faculty committees that reported annually to the Council. Candidates for membership in the Faculty Council include all persons with faculty voting privileges (known as the "Voting Faculty"). This includes all tenure-track faculty, all librarians, and full-time fixed-term faculty with at least three-year anticipated or actual appointments.

The Faculty Code provides for four officers, including the Chair of the Faculty, who presides over business sessions of the Faculty Council and represents the faculty to the administration and general public; the Secretary of the Faculty, who oversees administrative functions including elections, awards, and minutes; the Faculty Marshal, who assists with academic ceremonies and processions; and the Faculty Athletics Representative (FAR), who acts as voting delegate to the Atlantic Coast Conference (ACC) and representative to the National Collegiate Athletic Association (NCAA).

The Faculty Code also creates 26 committees (see table below) that are responsible to the general faculty. The charges to these committees can be viewed on the [Office of Faculty Governance website](#).

The committee that has the most direct responsibility for academic policies and procedures is the Educational Policy Committee (EPC). According to [its charge](#), this committee is "concerned with those matters of educational policy and its implementation" that fall under the purview of the Council. The committee's function is advisory to the Faculty Council, and it exercises its advisory function by:

1. routinely taking on reference from the Faculty Council any matter lying within its range of concern that has been formally presented to the Council for study or for action, and on which the Council desires to have substantial committee study prior to undertaking formal consideration;
2. from time to time taking on reference from the Faculty Council any specific proposal that has come through the normal administrative channels for approval by the Council (such as adding or dropping academic programs) and on which the Council desires further review and advice prior to taking final action;
3. acting as a council of advice for the university registrar in administering faculty regulations concerning student records and transcripts, registration, class and examination schedules, grading systems, grade reports, academic deficiencies, probation, and readmission;
4. setting general policy on the kind of catalogs to be issued, their content, and their design; and
5. originating studies of particular matters lying within its range of concern by requesting authority from the Faculty Council to make such studies, conducting the studies if authorized, and reporting the results of the studies to the Council.

Faculty Council Committees

Elected by the General Faculty	Appointed by the Chancellor	Appointed by the Chair of the Faculty
Advisory Committee	Building and Grounds Committee	Agenda Committee
Administrative Board of the Library	Copyright Committee	Community and Diversity Committee
Educational Policy Committee	Research Committee	Faculty Information Committee
Faculty Executive Committee	Scholarships Committee	Technology Advisory Committee
Faculty Athletics Committee	Awards and Student Aid Committee	Faculty Welfare Committee
Faculty Grievance Committee	Advisory Committee on Undergraduate Admissions	Status of Women Committee
Faculty Hearings Committee	University Government Committee	Nominating Committee
Financial Exigency and Program Change Committee		Fixed-Term Faculty Committee
Honorary Degrees Committee		
Special Awards Committee		
Faculty Assembly Delegation Committee		

In addition to the decisions about academic policy made at the university or system level by the structures outlined above, most work of faculty governance occurs within schools and departments, all of which have their own policies, procedures, guidelines and standards, and internal committees. The [“Administration and Governance”](#) section of the *Faculty Handbook* contains the policies that govern those various academic departments, programs, and curricula. As examples, links are provided here to

COMPREHENSIVE STANDARD 3.7.5

Faculty Role in Governance

the pertinent governing bodies and documents for the [College of Arts and Sciences](#), and [promotion and tenure guidelines](#) for each school.

Faculty Athletics Committee (FAC) Authority in Maintaining and Protecting Academic Integrity

The Faculty Athletics Committee's (FAC) charge as delineated in [§ 4-7 of the Faculty Code](#) is:

"...informing the faculty and advising the chancellor on any aspect of athletics, including, but not limited to, the academic experience of varsity athletes, athletic opportunities for members of the University community, and the general conduct and operation of the University's athletic program."

Academic integrity as it relates to student-athletes is encompassed within the subjects on which the FAC should and does inform the faculty and advise the Chancellor. In summer 2012, the FAC was restructured to better address its role in upholding academic integrity and assuring that student-athletes have a full academic experience. See the [July 30, 2012 email](#) to FAC members that addresses this restructuring, which includes more monitoring and reporting.

Each FAC member provides perspective on academic integrity as a faculty member, through service as a liaison with assigned teams, and by monitoring and reviewing assigned topic areas. These topic areas include Academics, Admissions, Advising, and the Student-Athlete Experience, and are described below:

- The **Academics group** reviews the academic performance and progression of student-athletes, course and major clustering, grade trends, and other areas to ensure academic integrity. ([Faculty Council update report on academics April 2013](#))
- The **Admissions group** reviews admissions policies and student academic performance compared to projected performance level at the time of matriculation. Discussions of selection criteria and admissions guidelines and principles are included within this group's activities. ([FAC minutes 5/17/13](#))
- The **Advising group** reviews the Academic Advising Program (AAP) and the Academic Support Program for Student-Athletes (ASPSA) through discussions with and information provided by staff from both programs on how they assist student-athletes in meeting their academic goals. Student-athletes provide input on their advising experiences through focus groups, team liaison discussions, evaluations of tutors, advisors and counselors, and questions from the student-athlete exit survey. ([Advising update for FAC December 2013](#))
- The **Student-Athlete Experience group** receives information from the Student-Athlete Advisory Council (SAAC) focus groups and online surveys completed by exiting student-athletes on their overall academic and collegiate experience. Also, the FAC reviews feedback from faculty and advisors on student-athletes' ability to participate in all academic opportunities at UNC-Chapel Hill. ([SAAC interview summaries](#))

Each topic area group receives information from and works closely with the Office of the University Registrar, the Academic Support Program for Student-Athletes (ASPSA), the Office of Undergraduate Admissions, the Academic Advising Program (AAP), the Office of Undergraduate Education, the Department of Athletics, the Student-Athlete Advisory Council, the Provost's Office, and the Chancellor's Office. Over the past three years the communication and cooperation among all of these units has contributed to a much broader understanding of operations, and a more comprehensive approach to issue resolution and continuous improvement of processes to enhance the student-athlete academic experience. Findings from each group on its monitored topic area are reported to FAC and to any appropriate body or personnel with any recommendations for action or confirmation that goals and expectations are being met.

Examples of processes in which FAC topic groups have been engaged in discussions include:

- [Academic advising requirement for student-athletes](#);
- [Examination proctoring policy and procedures](#);
- [Honor Code - Honor Pledge Statement](#);
- Student-athlete admissions reporting including admissions to subsequent academic performance [See also response to [Comprehensive Standard 3.4.3 \(Admissions Policies\)](#)];
- Student-athlete exit surveys, which are now administered online;
- Increased faculty involvement in the NCAA certification of eligibility process for student-athletes, in response to the Wainstein Report [See also response to [Comprehensive Standard 3.2.11 \(Control of Intercollegiate Athletics\)](#)]; and
- Adding a FAC member to the group that monitors student-athlete enrollment patterns. [See also response to [Comprehensive Standard 3.9.2 \(Student Records\)](#)].

Qualifications of FAC Members and Selection Process

The FAC is an elected standing committee of the faculty. It is composed of 10 faculty members, nine of whom are elected by the voting faculty and one of whom, the Faculty Athletics Representative (FAR), serves *ex officio* (Faculty Code § 4-7). Each member of an elected committee serves a three-year term and may serve no more than two consecutive terms, except when the first term fills an interim vacancy for less than two years, in which case a third consecutive term is permitted (Faculty Code § 4-1).

During the Nominations Committee meeting to develop the election slate, the FAC Chair has input about what perspectives would be helpful to the committee's work. For example, for the 2014–15 ballot the FAC Chair requested faculty from the natural sciences, to have broader curriculum representation; from English composition, to inform the committee on incoming student writing expectations, performance and preparation; and from the Department of Communication Studies, which has high student-athlete enrollment. Marc Cohen from the Department of English and Comparative Literature subsequently was elected to the committee.

COMPREHENSIVE STANDARD 3.7.5

Faculty Role in Governance

The Chancellor appoints the FAR, selected from the voting faculty for an indefinite term, subject to formal review at least every 5 years (Faculty Code § 3-4). The Chancellor follows a process for this appointment and review, established with the advice and consent of the Chancellor's Advisory Committee, also an elected standing committee of the voting faculty.

Qualifications of the Current Members of the Faculty Athletics Committee (FAC) and Faculty Athletics Representative (FAR)

Qualifications of Faculty Athletics Committee Members and the Faculty Athletics Representative, 2014-15

Name	Position	School	Department	Related Qualifications
Marc Cohen, PhD	Lecturer	College of Arts and Sciences	English and Comparative Literature	Literacy and writing experience with college age students and with underprepared students; teaches undergraduates
Beverly Foster, PhD, RN	Clinical Associate Professor, Director of Undergraduate Studies	School of Nursing		Previous experience with the Educational Policy Committee; knowledge of admissions policies and student progression monitoring; teaches undergraduates
Paul Friga, PhD	Clinical Associate Professor	School of Business		Expertise with strategic planning and proposal development; teaches undergraduates
Layna Mosley, PhD	Professor	College of Arts and Sciences	Political Science	Member of the Undergraduate Admissions Advisory Committee (2011 to present); Chair, Committee on Special Talent Admissions; former Division II cross country student-athlete at Rollins College; member of the Faculty Athletics Committee at Notre Dame 2001-04; teaches undergraduates
Andrew Perrin, PhD	Professor, Director of Carolina Seminars	College of Arts and Sciences	Sociology	Prior experience on the Educational Policy Committee and Committee on Student Conduct and extensive work with issues of grade inflation and contextual transcripts; teaches undergraduates
Joy Renner, MA, RT(R), FAEIRS [FAC Committee Chair]	Clinical Associate Professor, Director of the Division of Radiologic Sciences, Faculty Academic Advisor	School of Medicine	Allied Health Science; Academic Advising, College of Arts and Sciences	Faculty academic advisor in the Academic Advising Program for Undergraduates in the College of Arts & Sciences for 28 years; served on Chancellor's Advisory Committee; experience with admissions and student matriculation through professional programs; teaches undergraduates

John Stephens, PhD	Associate Professor	School of Government	Public Administration and Government	Experience with mediation and negotiating governmental and organization change and planning
Deborah Stroman, PhD, CLU	Lecturer and Director of Sport Entrepreneurship and Community Engagement	College of Arts and Sciences; School of Business	Department of Exercise and Sport Science; Kenan Institute of Private Enterprise	Close involvement with issues related to inclusiveness and retention of a more diverse student body and research interests in social issues in sports and leadership; academic advisor; Chair of Carolina Black Caucus; former Division I basketball player at University of Virginia and assistant coach at UNC-Chapel Hill; teaches undergraduates
Kimberly Strom-Gottfried, PhD	Smith P. Theimann Distinguished Professor and University Ethics Fellow	School of Social Work		Expertise in ethics and moral courage and helping individuals advocate and inform
Lissa Broome, JD [FAR]	Wells Fargo Term Professor of Banking Law, Director of the Center for Banking and Finance	School of Law		FAR since 2010; FAC member in prior years; member of two NCAA Certification reviews

Oversight of the Faculty Athletics Committee (FAC)

The FAC reports at least annually to the Faculty Council, as does the FAR. In recent years, the FAC chair has reported monthly to the Faculty Council. The committee’s charge is included on each agenda for the FAC’s monthly meetings and in the annual reports to Faculty Council (See FAC annual reports: [Report 2012 - 2013](#), [Report Presentation 2012 - 2013](#), [Report 2013-2014](#) and [Report Presentation 2013 - 2014](#)).

The Chancellor attends the FAC meetings on a regular basis and consults with the committee Chair as appropriate. In each meeting, the Chancellor has an opportunity to share information she feels is relevant to the committee’s work, to answer questions from the committee, and to seek advice from the committee on any current issues. Discussion ranges from how the NCAA rules affect an institution to issues such as race discrimination and how to best incentivize faculty to look for innovative ways to engage students ([FAC Minutes 9-16-14](#); [FAC Minutes 3-4-14](#)).

An item on the FAC’s agenda for the 2014-2015 academic year is to review its charge and to recommend a revision, as appropriate, to include more emphasis on the role of the FAC in monitoring various aspects of the academic experience of student-athletes ([Retreat minutes for developing sustainable committee structure and function for monitoring activities](#)).

Determination of FAC Effectiveness in Meeting Its Charge/Goals

Faculty Council

In addition to the Faculty Council's annual review of the FAC, the FAC chair also has provided an update on the committee's activities at the monthly Faculty Council meeting, affording additional opportunities for faculty and administration feedback. In addition, the Faculty Executive Committee of the Faculty Council has requested that the FAC consider a proposal submitted by a faculty group to review academic support programs and their integration. The FAC will include this discussion in its advising and academic support discussion in spring 2015. Also, the composition of the committee was discussed in the FAC's November meeting ([FEC discussion](#); [FAC Minutes 11.11.14](#)).

University Community

Throughout the inquiries over the past few years, faculty have provided input, leadership, and critical guidance to FAC. In addition to Faculty Council meetings, FAC receives input at committee meetings, which are open public meetings and regularly attended by other faculty, administrators, and the news media. FAC members, particularly the chair, also receive input and feedback directly from members of the University community, which are then shared with the committee. For example, the FAC chair attended a UNC Retired Faculty Association meeting in November 2014 to provide information and respond to questions related to academics and athletics at UNC-Chapel Hill.

In spring 2014, the FAC held two open forums for faculty and others to ask questions and express their views to the committee. FAC conducted three open forums during fall 2014 and will continue to offer at least two open forums each semester. The forum discussions provide wide community input into the work plan for the committee ([FAC Retreat minutes – Voices from students and faculty](#)).

Additional sources of input for the FAC include:

- Faculty colleagues through individual communications ([FAC Open Forum - 4-23-14 notes](#));
- Student-athletes through focus groups with the Student-Athlete Advisory Council (SAAC), survey data, personal communication, and team liaison relationships ([Guidelines for Student Athlete Advisory Council Discussions](#); [SAAC liaison feedback](#));
- Athletics personnel through team liaison relationships and participation on ad hoc policy review committees ([FAC athletics perspective](#)); and
- Academic Support Program for Student-Athletes (ASPSA) through *ex officio* committee participation by the Director ([FAC Meeting Minutes 3-4-14](#); [FAC minutes 3-19-14 Exam proctoring](#)).

Nomination and Elections Process

The annual Faculty Council election process also provides an opportunity for voting faculty to assess the effectiveness of individual FAC members. Each year, three positions on the FAC are on the faculty ballot. FAC members may serve two consecutive, three-year terms and must be nominated and elected for the second term.

Process for Reporting Issues of Concern

In fall 2014, the FAC developed a process for reviewing questions and issues raised by any member of the University community related to academic integrity and student-athletes. This process allows for transparent reporting on how FAC handles issues and questions brought to the committee in a consistent, methodical manner. There is integration of input not just vertically through the University, but also horizontally to include more faculty and other individuals in the process of information gathering, analysis, evaluation, and reporting. The reporting phase ensures appropriate notification of responsible units and personnel and follow up on recommendations and actions. The final report is included in FAC minutes for a permanent public record and is reviewed with the original reporting source to ensure the question or issue was thoroughly addressed. The first pilot of this process occurred in fall 2014 and was discussed in the December 2014 meeting ([Issue Process](#); [Example of Issue Process](#)).

Committee Self-Assessment

At the end of the 2012-13 academic year, the FAC began conducting an extended meeting (2 half-day meetings) to review the work of the previous year and develop a work plan for the coming year ([FAC minutes 5-17-13](#), [FAC minutes 5-16-14](#), and [FAC minutes 5- 6-14 Retreat concerns raised by faculty](#)). These sessions allow for self-assessment of the committee's effectiveness in completing its work plan and communicating any findings, actions, and recommendations. Committee members review what work was accomplished, what questions or issues are unresolved, and prioritize the work plan for the coming year.

Timeline of Activities (details in meeting minutes)

- Fall 2012
 - Reviewed the Department of Athletics Strategic Plan.
 - Restructured each member's responsibility as faculty for academic integrity and education issues, liaison to teams for improved communication and understanding on issues and topic area for specific monitoring and reporting responsibilities.
 - Changed exit survey process to twice per year (fall and spring) to capture data for December graduates.
 - Developed pilot informational video for FAC and potentially all faculty to better understand the UNC-Chapel Hill athletics program.

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- Reviewed student athlete exit survey and exit interview information.
- Reviewed APR, GSR, and FGR data (happens each time data is made available).
- Decided to add annual focus group discussions with the Student-Athlete Advisory Council.
- Discussed with Undergraduate Admissions Office the new process for using PGPA for special talent admits for fall 2013.
- Spring 2013
 - Reviewed current advising services and projected advising services for student-athletes.
 - Reviewed tutoring program for student-athletes and comparison data of student admissions data with academic performance during first year.
 - Conducted focus group discussions with the Student-Athlete Advisory Council.
 - Discussed committee membership needs in preparation for nominations committee meeting – suggested faculty from sciences, english composition and majors with higher numbers of student-athletes.
 - Discussed issues related to Thursday night football games.
 - Discussed NCAA proposed changes to policies.
 - Reviewed the Department of Athletics financial records and discussion of budgeting process and philosophy.
 - Discussed ACC conference expansion and implications for UNC-Chapel Hill.
 - Discussed course and major clustering data.
 - Discussed sports medicine support for student-athletes and the impact of injuries and treatment on academics and class participation.
 - Discussed admissions decisions and impact on student academic support program.
 - Discussed clarification of policies such as the excused absence policy.
 - Began monitoring sports team schedules.
- Fall 2013
 - Discussed outreach program to academic departments for more communication on academics and student-athletes.

- Reviewed work on uniform reporting on admissions.
- Heard the plans from the new ASPSA Director and discussed the MAP program plans.
- Discussed the recommendations from the Rawlings Report.
- Discussed changes to NCAA that would allow more financial and other support for student-athletes.
- Discussed the plan for the Working Group and how its work would integrate with the work of FAC.
- Discussed the NCAA rules related to countable hours.
- Discussed Department of Athletics plan for “top three in academics” goal in their strategic plan and the metrics used to measure achievement within that goal.
- Reviewed admissions procedure and data for special talent admits and complexity of determining literacy and support needs.
- Reviewed the Working Group documents related to Admissions and Financial Aid.
- Reviewed progress with MAP program in ASPSA.
- Spring 2014
 - Reviewed Department of Athletics substance abuse and education policy changes.
 - Reviewed history and policies regarding multi-year scholarships.
 - Reviewed academic policies to ensure course integrity as well as review of course clustering and grade comparisons of general students and student-athletes.
 - Discussed issues related to faculty and student-athlete relationships in the classroom.
 - Discussed need to protect student records.
 - Reviewed updated admissions data for special talent admits and discussed the process for transfer students.
 - Discussed issues in particular for African American student-athletes.
 - Discussed orientation for students in general and for student athletes.
 - Reviewed resource of University Ombuds Office for student-athletes and faculty.
 - Discussed proposed policy on exam proctoring presented by ASPSA.

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- Discussed current legal actions with implications for intercollegiate athletics and changes at the NCAA and ACC conferences.
- Reviewed relationship of student disciplinary actions and athletic eligibility.
- Held open forum events on-campus open to the University community.
- Developed statement on integrity, reform, and transparency.
- Reviewed Working Group documents on principles guiding contact between faculty and ASPSA staff, faculty and coaches, and ASPSA staff and student-athletes.
- Discussed broadening student-athlete opportunities for study abroad, internships and other educational opportunities.
- Discussed involvement of students into FAC more formally.
- Discussed integrating the student-athletes more into the overall University environment and opportunities thus decreasing isolation of a group of students.
- Discussed educating coaches to increase understanding of academic calendar and expectations on students.
- Reviewed financial report from Department of Athletics.
- Fall 2014
 - Added a student-athlete liaison from the Student-Athlete Advisory Council to the Committee to participate in all meetings and activities.
 - Discussed information gained from the Wainstein report and how it informs our work.
 - Held three open forum events for the University community.
 - Outlined work on evaluation and analysis of time commitments and expectations of student-athletes.
 - Developed process for intake of any questions or concerns raised by anyone in the University community and the investigation of the issues with a reporting mechanism to ensure follow-through and communication with individual or group who raised the question or issue.
 - Reviewed information gained from meetings between liaisons and teams and coaches.
 - Hosted a joint meeting between FAC and all head coaches.
 - Began review of advising and academics content areas to be completed in spring 2015.

Next Steps

The FAC has been evolving over the past three years and will be in a position during 2014-15 to formalize its direction and functional structure for the future based on its work the past two years. Going forward, FAC will prepare annual goals and objectives to use as benchmarks for assessing the committee's effectiveness. For the previous two years, the monthly updates to Faculty Council, meetings with the Chancellor, and discussions with students and faculty have been the gauge of the relevance of the committee's work on the topics and issues seen as most important to UNC-Chapel Hill.

The report from the Working Group will inform the proposed change in committee charge that will be presented to Faculty Council for approval and determine the final structure and monitoring and reporting functions of the Committee.

Conclusion

At UNC-Chapel Hill, the Faculty Council — with elected and appointed committees — provides direction for University policy decisions as well as monitoring and revising existing policies. For the past three years the Faculty Athletics Committee, an elected committee, has undertaken a more extensive approach to monitoring policies related to student-athletes and encouraging the development of opportunities to enrich the student-athlete University experience.

References

[*The Code of the University of North Carolina, Chapter 100.1, Section 502D*](#)

[Faculty Code of University Government](#)

[Office of Faculty Governance Website](#)

[UNC-Chapel Hill Faculty Code Section 4.6 Educational Policy Committee](#)

[“Administration and Governance”](#)

[Governance of Department & Schools in College of Arts and Sciences](#)

[Executive Vice Chancellor & Provost Policies & Guidelines](#)

[Faculty Code of University Government, Chapter 4-7: FAC](#)

[Restructuring of FAC: Email of 30 July 2012](#)

[FAC Update to Faculty Council, 26 April 2013 \(Power Point\)](#)

[FAC Meeting Minutes, 17 May 2013](#)

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[Update on Academic Advising for Student-Athletes, FAC Meeting Dec 2013 \(Power Point\)](#)

[SAAC Interview Summaries, 2014](#)

[Academic Advising for Student-Athletes, October 2014](#)

[Proctoring Policy and Procedures for Student-Athletes, November 2014](#)

[Proctoring of Exam - Honor Code Statement](#)

[FAC Annual Report to the Faculty Council, 15 November 2013](#)

[FAC Annual Report to the Faculty Council, 15 November 2013 \(Power Point\)](#)

[FAC Annual Report to the Faculty Council, September 2014](#)

[FAC and FAR Annual Report, 2013-2014 \(Power Point\)](#)

[FAC Meeting Minutes, 16 September 2014](#)

[FAC Meeting Minutes, 4 March 2014](#)

[FAC Retreat Minutes, Session 2, 16 May 2014](#)

[Athletics Reform Group: Proposals for the Faculty Executive Committee](#)

[FAC Meeting Minutes, 11 November 2014](#)

[FAC Retreat Minutes, Session 1, 6 May 2014](#)

[FAC Open Forum Meeting, 23 April 2014](#)

[Guidelines for Student Advisory Council Discussions](#)

[SAAC Liaison: Student-Athlete Feedback](#)

[FAC Meeting Minutes, 19 March 2014](#)

[Procedure for FAC Input, Review and Outcomes \(Flowchart\)](#)

[FAC Issue Review Process Sample Document \(November 2014\)](#)

Comprehensive Standard 3.9.2 Student Records

SACSCOC Request for Information Related to this Standard

This standard expects an institution to protect the security, confidentiality, and integrity of student records and to maintain security measures to protect and back up data.

In the November 13, 2014, letter from SACSCOC, the University of North Carolina at Chapel Hill was asked to demonstrate compliance with this standard by addressing the following specific requests for information:

The institution is requested to provide information and policies on the retention of student records. Address the length specified in the policy for retention of academic records, and indicate any institutional or system policies that would create a barrier for the institution to have continuous access to the records in order to ensure their integrity. Provide an update on the effectiveness of newly-automated grade change process and the interactive student records dashboard that included enrollment data for independent study courses and grade distributions by course, and the process for monitoring the enrollment patterns of student athletes. Provide evidence of regular audits designed to verify the validity and integrity of student records in the future.

Summary

It is essential that the University protect the security, confidentiality, and integrity of student records. The University has implemented reforms to ensure full compliance with the Commission's standard and to fix inadequacies in the controls of student enrollment in independent study courses, as well as grade change procedures. This section will also demonstrate the processes in place to monitor student data to verify the integrity of student records.

- One of the important resources at the University's disposal to maintain its commitment to academic integrity is its student records retention and disposition schedule. The policies contained with this document ensure continuous access to student records and the integrity and accuracy of those records.
- The University's student records policies are designed to strike the appropriate balance between transparency and openness and the University's responsibility to protect sensitive and private information.
- The University has implemented processes to monitor student data in order to identify potential issues, allowing the University to quickly adopt the necessary measures to address any issues that threaten its standards of excellence and integrity.

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- Whenever possible, the University will look for ways to actively enforce academic policies with technical or programmatic solutions that restrict access to sensitive processes in order to further ensure the integrity of the student record.
- The University continues to look for additional ways to improve its sophisticated monitoring processes and enhance the protection of the integrity of the student record.

Actions

Retention of Records

In May 2012, the Office of University Archives and Records Management Services published the [General Records Retention and Disposition Schedule](#) for the University of North Carolina at Chapel Hill. This University-wide policy document helped to bring consistency to records retention and disposition schedules that had previously been established primarily at the college/school or administrative office level.

As the steward of all student data at the University, the University Registrar is responsible for ensuring compliance with the General Records Retention and Disposition Schedule. Academic records that are directly maintained by the Office of the University Registrar include but are not limited to: class lists, drop/add forms, grade rolls, grade change authorization records, transcripts, and all records related to the Student Services System (ConnectCarolina). Almost all records maintained by the University Registrar are to be maintained permanently, particularly any related to registration, grading and transcripts. All records maintained by the University Registrar, whether maintained in paper or electronic format, fully comply with the requirements for storing sensitive information, which include being stored in a secure area (such as a locked room or locked filing cabinet) or in a password-protected electronic file or secure server. As such, there are no known obstacles and there are no University or system policies that would prevent the University from having continuous access to academic records in order to ensure the integrity of these records.

The Office of the University Registrar maintains microfilmed records that date as far back as 1907, electronic records that date back as far as 1953, and certain electronic audit records that date back as far as 1994. All of these records are retained permanently, in accordance with the General Records and Disposition Schedule noted above. The University Archives retain all existing transcripts and permanent student records for anything prior to 1907.

For the most recent records, starting in 2010 and stored electronically in ConnectCarolina, the University has developed and maintained a complete auditing process for ensuring the integrity and accuracy of all student records. In addition to utilizing delivered and custom-built audit tables in ConnectCarolina, the University Registrar's office is also monitoring access attempts to selected pages in the student system, including registration or grading pages, in order to ensure that only authorized users are accessing and/or updating student records. Lastly, beginning in fall 2014, the University Registrar's office has implemented a record lockdown procedure that restricts high-profile records from all system users in order to ensure complete privacy for any records deemed to have privacy concerns.

While the latter example is one that illustrates the University's commitment to ensuring compliance with FERPA, the same suite of technical solutions and monitoring efforts provide the same level of assurance for the integrity of the student record.

In addition to addressing those student records that are to be maintained permanently, the General Records Retention and Disposition Schedule also codified the disposition schedule for "other student or course related materials that should not be maintained permanently." A key example is the disposition schedule for "Examinations, Tests, Term Papers, and Course Work Records." The disposition instructions for such records state very clearly that these materials are to be "destroyed in office 1 year after completion of course for uncontested grade results...[and] if challenged, destroy after resolution of challenge." While published in 2012, work on The General Records and Retention and Disposition Schedule began several years before any identified academic irregularities, and was based on a comprehensive review of federal and state record standards. This review helped to establish best practices for the University that aligned with national trends in records retention.

Evidence of Audits and Monitoring to Ensure Validity and Integrity of Records

Over the last several years, UNC-Chapel Hill has continued to improve monitoring and auditing procedures to further ensure the integrity of the student record. The University currently employs a multifaceted approach to monitor and/or systematically regulate compliance with existing academic policies.

As the steward of student records, the University Registrar is the academic officer primarily responsible for overseeing the monitoring and auditing processes to protect the integrity of current and future records. This includes all processes associated with class scheduling, registration, grading and grade changes, and graduation processing. With such a wide array of different processes, the monitoring solutions are equally diverse, but all serve the purpose of protecting the integrity of the University's student records.

In general, there are seven methods currently used to monitor the integrity of the University's processes:

- Direct observation to confirm an expected outcome, with a primary example being the program of classroom visits to ensure that classes are meeting as scheduled;
- Data analysis to look for anomalous outcomes, with a primary example being improved instructor workload reports;
- Review of delivered and/or custom-built audit tables in ConnectCarolina to confirm policy compliance, with a primary example being the review of grade change approval logs;
- Review of access attempts and user activity within the student system through a monitoring tool called Splunk, with a primary example being the review of access attempts to restricted or sensitive pages in the student system;

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- Regular review of security roles assigned in the student system to ensure compliance with FERPA and the University's access policies, with a primary example being the review process for the grade change approver roles;
- Coding changes to the student system to programmatically enforce compliance with University policy, with a primary example being the implementation of hard-coded logic in the student system to limit access to only authorized users for certain processes, such as grade changes and grade rosters; and,
- Data transparency where appropriate, with a primary example being the instructor grading pattern reports that are available to all University faculty.

In addition to these standard methods, other methods may be employed on an as-needed basis. The overall strategy for monitoring is to begin with the data analysis, usually starting with outcomes (such as grading or enrollment patterns) to look for potentially anomalous activity. Another approach, and one that is often a natural follow-up to the first, is an examination of the inputs, such as the log of users who enrolled students in a class or entered the grading information. The former relies primarily on either the student dashboards or on reports produced by the University Registrar's office. The latter requires reports from the audit tables within the student system. Often, any potential anomalies detected via an analysis of outcomes will lead directly to a review of the audit tables associated with those processes to look for further evidence of any concerns. If concerns still exist after this analysis, the University is able to delve even deeper and more specifically into individual access attempts to the pages associated with these various processes.

With forensic tools, like Splunk, the monitoring efforts can trace updates to the system to specific users and even specific IP addresses. This latter effort is not often required but provides reassurance that the University can analyze even the most minute detail in its effort to monitor and protect the integrity of the student system and therefore of the academic record.

A very recent hacking attempt highlights the level of assurance provided by these tools. After being notified of the attempt by ITS Security, the University Registrar's office was immediately able to trace the activity of the unauthorized user and verify that no student records screens were accessed or updated by the individual.

Whenever possible (or at a minimum, whenever necessary) these various methods are often utilized in conjunction with each other to provide additional levels of analysis or verification. As an example, since spring 2012, the University has continued to monitor student-athlete enrollment patterns in all undergraduate classes, which represents a significant improvement for the University's monitoring efforts and for its understanding of enrollment patterns in general. In any given semester, any class with 20% or greater enrollment of student-athletes triggers a review by a committee composed of the University Registrar, the Senior Associate Dean for Undergraduate Education, and the University's Faculty Athletic Representative (FAR). The initial review in each semester occurs immediately following the add/drop deadline. It begins with the data analysis (#2 above) of the enrollment patterns of the class, taking into consideration a number of contextual factors, including what are the majors of the

students/student-athletes taking the class; is the class a major requirement or a General Education requirement; what time does the class meet; what are the overall GPAs of the students/student-athletes in the class; and has the class or professor been flagged in a previous review.

If any courses are flagged for additional review after this data analysis, the next step includes a review of enrollment audit tables (third bullet above) to determine such factors as when and how the students/student-athletes registered for the class. Finally, for any classes still under consideration, the Senior Associate Dean seeks out documentation, including a syllabus and class meeting information to directly confirm (first bullet above) that the course is being conducted appropriately. These supporting documents are shared with the review committee members as a second level of verification on the monitoring process. The data and documents gathered in this review process are then shared on an annual basis with faculty representatives from the Faculty Athletic Committee (FAC).

Additionally, a second review of each course flagged in the initial review process is conducted at the end of the semester, after grades are awarded, with separate analysis conducted on the grading patterns of these courses to look for any anomalies. The information gathered for both reviews are retained and summarized in annual reports to both the FAC and the University of North Carolina's General Administration.

The monitoring process for this particular issue typifies the multi-faceted approach being taken by the University to ensure compliance with academic policy and the integrity of the student record. It is unlikely that any University in the nation is doing more to either monitor or evaluate the issue of student-athlete enrollment patterns in classes, yet efforts continue to look for additional ways to improve our process and to inform the larger discussion about this issue. It is important to note that after the implementation of this particular review process (for courses with 20% or greater student-athlete enrollment), the University of North Carolina system imposed the exact same monitoring and reporting standard on all other constituent campuses beginning in 2013.

Finally, as important as the increasingly sophisticated monitoring processes are in helping to protect the integrity of the academic record, an equally powerful tool is the deliberate effort to try to make certain contextual data as transparent as possible, whenever possible, and whenever appropriate. The most prevalent example involves the Instructor Grading Pattern reports made available to all faculty via the student dashboards. The Registrar's office has found that these reports often generate requests from departments and department chairs, either with more details or more years of data, if any concerns are identified in the dashboard reports.

In spring 2014, a recent concern was raised when a particular instructor in the College of Arts and Sciences was reported to be awarding too many high grades in a class. The chair was provided more detailed grading information, and after following up with the instructor, determined that there were no integrity issues involved. Departments also use reports to review and discuss grading patterns within their own department, and several have invited the University Registrar to these meetings to discuss effectively utilizing the reports as part of the larger discussion on grades and grading patterns.

Importantly, this transparency has encouraged others on campus to come forward with concerns about

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how classes are being conducted. These same monitoring tools allow for a quick and thorough analysis of the same types of data that can help determine if an issue exists. For example, in fall 2014, a tutor recently reported a concern that there was too much overlap in the content of two classes offered by the same department, which offered an unfair advantage to students who took both classes. The University Registrar was immediately asked to pull all enrollment and grading pattern data associated with the two classes over a number of years. Because of existing monitoring reports, these output files were pulled quickly and an analysis was conducted of the grading patterns for students who took only one of the two classes versus those who took both. There was clear evidence of no correlation between taking both classes and higher grades in either class. The input files were also pulled from the enrollment audit tables to determine how the students were enrolling in the classes. The review showed that enrollments in the class were completely student initiated, with no pattern of early enrollment or restrictions on the class that would favor any group of students. There were no red flags found in the input files, which provided further evidence that there was not an integrity issue involved.

At the same time that this data and audit analysis was underway, academic administrators met with the department chair and instructor and determined that there were no curricular concerns with the classes. While this example can be characterized as a non-issue, the circumstances around how it was reported, acknowledged, investigated, and confirmed to be a non-issue are a strong endorsement of our new monitoring processes and the University's commitment to transparency and accountability.

Finally, as strong as the University's commitment is to transparency and openness, there is an equal responsibility to protect sensitive information. Therefore, when it comes to pages within the system, such as grade rosters and grade change requests, increasing restrictions are being put into place to programmatically enforce University policy. Our previous responses to SACSCOC highlighted the secure gateway to the electronic grade change request process and how this process only allowed the instructor of record or a dean's level designate to even access the grade change page. This same restriction was recently put into place for the grade roster itself, which is how faculty submit initial grades for all classes. This change required a significant modification to ConnectCarolina. Monitoring efforts will continue with this process, just as they have for the grade change process, but these programmatic barriers to unapproved users is a significant step forward in the overall security of the grading process.

This same model has been implemented with other high-risk areas, including the new electronic process for student withdrawals requiring dean's-level approval. The University will continue to build upon the enhanced capabilities of ConnectCarolina to bring more efficiency, more security, and more auditability to any processes related to student records.

All of these various approaches and tools combine to provide a level of certainty that the University has not previously had with respect to the accuracy and integrity of the academic record. As demonstrated in prior reports to SACSCOC, significant strides were taken starting in fall 2010 with the implementation of ConnectCarolina, an integrated system that allowed the University to replace most of its paper-based processes with electronic processes that provided far greater levels of auditability. Since the University's last report to SACSCOC, additional tools and processes have been introduced

that continue to add to the level of sophistication and certainty in the various monitoring processes. This is an area that will require constant vigilance, and the University is as well positioned as possible to continue to improve upon the existing processes to do whatever is necessary to ensure the integrity of current and future student records.

Effectiveness of New Processes

Additional information on the effectiveness of these processes is described in other sections of this report.

- **Grade change process** – The University implemented an electronic grade change process for all undergraduate students in March 2013. The new system is a fully customized modification to ConnectCarolina, the PeopleSoft-based student system, with workflow, approval logic, and built-in notifications that align with the University's grade change policy. 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. These two layers of approval were already required under the University's grade change policy, but the new security features and the custom workflow provide a level of certainty as to exactly who can and/or has approved any given grade change. In addition, the custom workflow allows any approved user to view the status of a submitted grade change immediately.

The design of the modification also provides for instantaneous summary reporting for any approver in the process. All grade change requests and all associated audit information remain permanently available to the chairs and deans who have approval authority. Approvers can sort and filter based on a number of criteria in order to view trends in the submission patterns of either courses or students. The University Registrar has unlimited view access to all submitted requests for grade changes, and can either download the data directly from the grade change inbox or run custom reports as part of the biannual review process with key academic officials who share oversight responsibilities, such as the Senior Associate Dean for Undergraduate Education in the College of Arts and Sciences, and the Associate Dean for Academics in the Graduate School. The review process is focused on both improving the electronic process itself (by identifying additional enhancements to the grade change process, such as a separate path for grade changes submitted by the chair as instructor of record), and identifying any grade change patterns that would indicate a concern.

On December 11, 2013, the electronic grade change system was expanded campus-wide to all graduate and professional programs. The new electronic process has been so successful that paper forms have been completely eliminated from the grade change process. In fact, the technical logic that hard-codes approved users into the system and only allows those users to even access the grade change page has been coded into the scheduling process and grade roster pages as well. As of fall 2014, the only users who can be granted grade approval access are primary instructors or documented second-level approvers as defined in the University's grading authority policy. A copy of this policy [may be viewed on the Registrar's website](#).

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The Office of the University Registrar sends this grading policy to all campus departments twice per semester: during the scheduling period, when courses are being scheduled and faculty are being assigned to classes, and again right before the grading period. The new system restriction provides another level of programming certainty to further enforce the University's grading policies and to ensure the integrity of all grading records. The monitoring procedures noted in the previous section provide additional assurances, and they highlight the multi-faceted approach that the University has taken to protect the accuracy and integrity of the student record.

- **Dashboard Reports** – Both the student records dashboard -- with seven pre-formatted reports for administrative users, and the dean's dashboard -- with grading pattern reports, independent study enrollment information, and lists of any classes without an instructor -- continue to be useful monitoring tools for potential problems. Since the last report to SACSCOC in March 2013, however, the University has made the decision that the reporting platform that supported the original dashboards was not robust enough to allow the expansion of functionality that the reporting and monitoring efforts would require. Therefore, the University transitioned the dashboard reports from the Oracle Business Intelligence (OBI) system to one centered on the University-developed InfoPorte for data lists and operational reports, and SAS's Visual Analytics for longitudinal studies and dashboards. The intent is to put the University in an even better position for day-to-day reporting needs, but also regular oversight and planning processes, such as the process to monitor independent study enrollments.

The process for monitoring independent study enrollments is described in more detail in [Comprehensive Standard 3.4.5 Academic Policies](#) and [Federal Requirement 4.9 Definition of Credit Hours](#). This process relies heavily on the data from the dashboard reports on scheduled classes and independent study enrollments.

It is important to note that while these centralized reporting solutions and dashboards play a key role in disseminating important data to a broader audience, these are not the only solutions in place for data needs or process monitoring. In addition to the University Registrar's office, the Office of Institutional Research and Assessment (OIRA) plays an equally critical role in providing the necessary data and analysis for curriculum and policy committees such as the Administrative Board of the College of Arts and Sciences. More information on these analyses can be found in the [response to Federal Requirement 4.9 \(Credit Hours\)](#).

The University is committed to providing appropriate transparency and increased efficiency in reporting, and the dashboard concept helped provide both when first introduced in 2012 with the implementation of the OBI solution. All existing reports and dashboards were converted to the new InfoPorte/SAS solution in October 2014. While there is much interest in developing more red-flag reports like the independent study enrollments report, there is an equally strong interest in developing stronger and more widely available longitudinal analysis with the

SAS Visual Analytics tool to improve our overall planning and strategic efforts. As critically important as the monitoring efforts are, the University also continues to look for ways that we can improve the overall educational experience for students, and we will continue to move toward a more data-driven approach in this regard.

As noted, the dashboard approach was an important first step and continues to be a key strategy for disseminating important data more broadly to the University community. The one report that continues to be the most discussed and the most useful to faculty and administrators is the Instructor Grading Patterns report. The openness of these reports to all faculty members is very clearly serving the original intent of “shedding light” on the grading patterns of the entire University. Department chairs, deans, and other faculty can easily view the data of any other department or faculty member, making the grading patterns of anyone open to review.

In addition, the class-specific portion of the dashboard that allows for a comparison of grading patterns across sections of the same class is the basis for analysis of enrollment and grading patterns in courses identified for review as part of the oversight of the priority registration process (courses with more than 15 % of the seats taken during priority registration) and student-athlete clustering (courses with 20% or greater student-athlete enrollment). As the University continues to plan the implementation of contextualized transcripts, the next iteration of this report, “Grading Patterns for Courses with 20% or More Student-Athletes,” will be open to all current students to better inform their understanding of the contextualized transcript information. While every effort is being made to monitor and programmatically limit who can make updates to the student record, the University is equally committed to providing appropriate and open access to grading patterns, both to bring transparency to this process and to ensure that any concerns are spotted and reviewed as quickly as possible.

However, the monitoring that is required to ensure the integrity of the student record goes far beyond relying on the campus community to identify anomalies. As the primary academic official responsible for monitoring and auditing these procedures, the University Registrar, by design, uses multiple tools and multiple approaches. One of the more effective and powerful tools that has been incorporated into the monitoring efforts since the last visit by SACSCOC is a tool called Splunk, as noted above. This monitoring tool allows for reporting based on any and all attempts to access the student system and can also trace navigation to specific pages within ConnectCarolina. The University Registrar’s office first utilized this tool as part of periodic, random reviews of system use to ensure compliance with FERPA and legitimate educational need for accessing student records.

As more sophisticated reports were developed, the tool was utilized to ensure that only users authorized for changes to the student record accessed update pages. In addition to these now regular uses of the tool, the University Registrar’s Office is able to utilize Splunk for forensic analysis, should any login issues or access attempts need to be reviewed. For example, after a very recent attempt by a hacker to access the student system, the University was able to use the logs from Splunk to verify that no student records were accessed or changed. So, while the University hopes for continued progress with its latest iteration of the dashboard reports, the efforts to ensure the integrity of all student records in our student system extend beyond the dashboard reports alone, and require a comprehensive effort that is in place and continues to improve.

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- **Independent Study Enrollment Process** – As noted in the response to [Comprehensive Standard 3.4.5 Academic Policies](#), the University has made significant strides in implementing much-needed policies and procedures related to enrollment in Independent Study courses. With respect to the actual enforcement and monitoring of the new policies established after the adoption of the 2011-2012 Independent Study Task Force Report, the University continues to leverage new tools that were not available prior to the implementation of ConnectCarolina. For example, the enrollment process for Independent Study courses requires that a completed and approved Study Agreement be submitted before a student can enroll in an Independent Study. In order to enforce this requirement and to ensure the integrity of these policies, all Independent Study sections are set up to require a permission override (or departmental approval), which prevents a student from enrolling with a manual override. To further enforce the integrity of the Independent Study process, various departments have approved additional requisites for these courses, such as a minimum GPA for students to enroll. These additional requisites are also built into the course catalog of the University and are systematically enforced within the student registration system. For example, the Department of African, African-American, and Diaspora Studies requires a student to be a major in the department and to have a minimum 3.00 GPA in order to enroll in an Independent Study. Both of these requisites, in addition to the required Study Contract, are programmatically enforced by ConnectCarolina.

In addition to the proactive and programmatic enforcement of these registration policies, enrollments in Independent Study courses are further monitored and enforced in a number of ways. Following the tenth day of classes in each semester or term (census), the Office of Institutional Research and Assessment provides the Senior Associate Dean for Undergraduate Education with a list of all Independent Study enrollments for review. This report is a full accounting of all Independent Study enrollments, which complements the custom dashboard report that flags any independent sections with more than two students enrolled. The Senior Associate Dean for Undergraduate Education utilizes these two reports to review for any issues that need to be addressed and follows up directly with the chairs of any department with identified concerns. A second level of monitoring and enforcement is provided by the degree audit system that was built into ConnectCarolina. The degree audit system, Tar Heel Tracker, provides real-time updates on a student's completion of all requirements for their degree program, including University requirements, General Education requirements, and any combination of major and minor requirements. This tool, also made possible since the implementation of ConnectCarolina, explicitly limits the number of Independent Study courses that can count toward a student's degree program to no more than 12 credits. Any credits above the 12-hour threshold are reported as non-degree applicable and do not count toward the requisite 120 credits for a baccalaureate degree at the University.

- **Monitoring of Student-Athlete Enrollment Patterns** – UNC-Chapel Hill began to monitor and evaluate enrollment patterns of student-athletes in spring 2012. As of July 2014, the UNC system began to require a report on clustering of student-athletes in courses from all constituent institutions. As noted in the previous reports to SACSCOC, the Senior Associate

Dean for Undergraduate Education, the University Registrar, and the Faculty Athletics Representative conduct the primary review, with a member of the FAC present during the data review meeting. While the overall mechanics of the process remain very similar -- all classes with 20% student-athlete enrollment are first reviewed after the add/drop period ends and then again after grading occurs for the term, with follow-up by the Senior Associate Dean to determine any reasons for the high percentage of student-athletes -- the process itself continues to evolve to be approached in both a more data-driven and a more holistic manner.

As noted above, the University employs a number of monitoring techniques to review and ensure against any concerns in this area. With respect to the data approach, the review committee has continued to apply more sophisticated analytics to the process in order to focus more specifically on any real concerns that may come with clustering (versus simply the identification of clustering). The latter is easy if you simply define a percentage of total enrollment by student-athletes to be clustering. Much more effective is finding a means to separate the former -- real issues with clustering -- from the convergence of schedule limitations, similar majors, and word-of-mouth that can easily result in some level of clustering by any group of students.

Over the last year, the committee has focused on comparative data within the courses marked for review. For example, in addition to looking at the percentage of majors among athletes and non-athletes in a course, the committee also looks at the following: meeting time of the class; team affiliation of student-athletes enrolled; class level of all students enrolled; patterns with the same faculty members, particularly if multiple faculty teach the same class; average GPA of athletes versus non-athletes entering the class; and average grade of both groups after the class is graded. In most semesters, there are anywhere between 60 and 120 classes (out of nearly 3,800 total undergraduate course sections each fall or spring semester) that meet the 20% enrollment threshold that triggers a review.

These numbers themselves represent a significant minority of the total classes offered, but this more detailed analysis has even further narrowed the number of courses that raise any kind of flag. It is clear from the processes that are currently in place (and that continue to become more sophisticated and efficient) that student-athlete clustering does not represent a threat to the integrity of the University's academic processes or the academic record.

Even without an identified problem, UNC-Chapel Hill is committed to ensuring that all students have the same academic choices and opportunities, which is why the current process to review and monitor enrollment patterns of student-athletes is also taking a more holistic approach. The committee that reviews for possible clustering now meets on a regular basis with the Faculty Athletics Committee (FAC). This collaboration has helped guide the process toward the more analytical approach described above. But, with FAC's broader approach to the overall experience of student-athletes, the two committees have begun collaborating on processes that go beyond simple reviews of enrollment patterns. One major initiative currently underway is a complete review of the existing eligibility certification process, in order to find a means of

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further incorporating faculty into that process. The goal of this effort is to look more broadly at the educational experience of the student-athlete, and to bring the perspective and insight of faculty to the advising and planning process for all student-athletes.

Understanding that SACSCOC is primarily interested in the monitoring aspect of these reforms, the University's goals with these reforms and others initiated before and after the April 2013 visit is to not only ensure the integrity of the student record, but to continue to improve the student educational experience for all UNC-Chapel Hill students.

Next Steps

The University has made enormous strides in the last three years to not only improve the efficiency of its academic process but, more importantly, to further enhance its ability to actively enforce policies related to the integrity of academic records. Similarly, the same technologies have allowed for the development of an integrated and sophisticated monitoring process that continues to grow and improve upon the University's ability to audit and troubleshoot potential risks to the integrity of the student record.

Conclusion

In conclusion, the University has introduced a number of improved policies and procedures to protect the security, confidentiality, and integrity of student records. Primarily by leveraging advances made possible with the implementation of a new student system, ConnectCarolina, the University has significantly enhanced its ability to either programmatically enforce academic processes and/or to effectively monitor these processes for any risks to the integrity of the student record, thus ensuring that the irregularities discovered in the AFAM program cannot be repeated.

References

[General Records Retention and Disposition Schedule](#)

[Registrar Grading Policies and Regulations](#)

Comprehensive Standard 3.9.3 Qualified Staff

SACSCOC Request for Information Related to this Standard

This standard expects an institution to provide a sufficient number of qualified staff--with appropriate education or experience in the student affairs area--to accomplish the mission of the institution.

In the November 13, 2014 letter from SACSCOC, the University of North Carolina at Chapel Hill was asked to explain and document the extent of its compliance with this standard by addressing the following specific requests for information:

The institution is requested to provide the educational background, experience, professional development and internal/external training of its student services staff. Additionally, identify training in academic policy provided to academic advisors/counselors involved in undergraduate advising and disaggregate distinguishing units (e.g., undeclared majors, ASPSA).

Summary

It is the responsibility of the University to provide a sufficient number of qualified Student Services staff in order to accomplish its mission. This section of our response will highlight the standards in place currently based on recent reforms in ensuring qualified staff.

- Consistent with its mission of upholding high standards of academic excellence and integrity, the University employs highly qualified and experienced student services staff. These staff members are expected to exemplify standards of honesty, integrity, diligence, and effectiveness consistent with the University's mission and values.
- Student services staff represent a variety of departments and units and have different qualification and training requirements depending upon their function.
- Student services staff receive consistent and extensive professional development and training related to the University's academic policies and procedures in order to ensure the integrity and sufficiency of student academic and personal support.
- Staff are expected to be engaged in continuous improvement and development activities in order to stay current and provide excellent service in an ongoing manner that remains consistent with academic trends, federal and state policies, and best practices within the profession.

Actions

UNC-Chapel Hill students are served by a dedicated and trained staff of professionals who provide advice concerning their academic requirements and ensure that appropriate services are available to support their academic, social, and personal development needs. Staff members are hired through a competitive application process and present qualifications that meet or exceed the stated educational

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requirements with demonstrated experience of their competency for their roles at the University. Staff members engage in ongoing training related to academic and student policies and participate in professional development activities to continuously enhance their effectiveness in carrying out their work in support of students.

Student services staff consist of many employees across campus who interact with students at some level and perform work that at least indirectly supports their success. This response describes the primary groups of employees that regularly provide direct services to students: (1) Student Services Specialists; (2) advisors from the Academic Advising Program (AAP); (3) staff from the Academic Support Program for Student-Athletes (ASPSA); (4) staff from Student Affairs; and (5) staff from the offices of the University Registrar, Scholarships and Student Aid, and Undergraduate Admissions.

Student Services Specialists

Student Services Specialist positions belong to a standard career band category that is subject to the North Carolina State Personnel Act (SPA). Specialists serve primarily within academic units to provide direct support to students and faculty by carrying out functions that might include course registration, organizing departmental advising and career services, referring students to various campus resources, answering questions regarding the curriculum and academic policies, and serving as the departmental liaison to campus offices such as the University Registrar, Scholarships and Student Aid, and The Graduate School.

Education and Experience

The minimum position requirements for the Student Services Specialist career band category include a bachelor's degree from an accredited institution or an equivalent combination of training and experience. An analysis of the records of the 43 employees currently holding these positions indicated that they met the basic requirements when hired. Thirty-five percent of the Student Services Specialists hold master's degrees. They average nine years of work experience.

Student Services Staff Qualifications

Position Branch, Role, or Type	Minimum Position Requirements		Current Employees	
	Education	Years of Related Experience	Education	Average Years of Experience
Student Services Specialist (SPA)	Bachelor's or equivalent combination of training and experience		5 High school 4 Associate's 19 Bachelor's 15 Master's	9 years

Professional Development and Training

Consistent with the policies of the Office of State Human Resources, all SPA employees must receive a Work Plan and a Professional Development Plan from their supervisor at the beginning of the annual performance management cycle. The Work Plan outlines the principal functions of the position against which the employee's performance will be evaluated. The Professional Development Plan specifies any

activities that the employee should take to enhance effectiveness. An evaluation of the success of the work and development plans is a part of each employee's annual performance evaluation.

University staff employees are encouraged to take advantage of the professional development opportunities offered through the Office of Human Resources. [A description of their current offerings of courses and certificate completion programs can be viewed here.](#)

Academic Policy Training

The Office of the University Registrar provides much of the campus-wide training concerning academic policies approved by the Faculty Council and mandated by the UNC System Board of Governors, and the official processes adopted by UNC-Chapel Hill for carrying them out. Staff in the Registrar's Office offer year-round training to Student Services Specialists and other employees who work with students on the proper procedures for a wide variety of actions related to setting up courses, registering students, and clearing students for graduation, to name a few examples. The Registrar's Office also provides training related to the Family Educational Rights and Privacy Act (FERPA) and other federal policies that these staff members must adhere to in their work. [Training materials are posted on the website of the University Registrar.](#)

Other Professional Development Activities

Many departments and schools have internal practices for job orientation, training, and professional development. For example, when a new Student Services Specialist is hired in any unit within the College of Arts and Sciences, the Director of the Office of Undergraduate Curriculum sends a [welcome letter](#) that includes guiding principles about performing the job successfully. The employee is asked to attend [regular informational sessions](#) organized by the Office of Undergraduate Curriculum and designed to help Student Services Specialist staff members to build community among their peers, discuss issues that arise in their respective units, and hear important updates concerning policies and procedures.

Advisors in the Academic Advising Program (AAP)

The Academic Advising Program's (AAP) professional team consists of 36 full-time advisors and 19 faculty and staff advisors from academic departments and professional schools who advise more than 16,000 undergraduates in the General College and the College of Arts and Sciences. The full-time advisors are professional employees in positions that are not subject to the North Carolina State Personnel Act (EPA Non-Faculty). These positions are not classified in the same manner as those of SPA employees, so the hiring requirements are developed individually based on the responsibilities of the position and needs of the unit. However, all hires are expected to have at least a bachelor's degree (a master's degree for leadership positions) and experience in education, student services, or related areas of higher education.

Education and Experience

An analysis of the records of those employees in academic advisor and senior academic advisor positions [see table below for summary] found that more than 86% had a graduate degree in their

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academic disciplines, in counseling, or in related areas of higher education. All had prior experience related to advising, teaching, or other student service support functions; and the average total years of relevant experience including the present position, was approximately 12 years. Advisors at the assistant dean level or higher each held a graduate degree and an average of 19 years of professional experience.

Academic Advising Program Staff Qualifications

	Position Requirements		Current Employees		
	Education	Years of Related Experience	N	Education	Years of Related Experience
Full-Time Professional Advisors					
Associate Dean & Director	Master's; PhD preferred	5-7	1	PhD	15
Deputy Director & Senior Assistant Dean	Master's; PhD preferred	5-7	1	Master's	18
Assistant Deans	Master's; PhD preferred	3-5	4	Master's	Mean = 19
			2	PhD	Mean = 22
Senior Academic Advisors	Bachelor's; master's preferred	4-6 years with bachelor's; 2-4 years with master's	2	Bachelor's	Mean = 17
			8	Master's	Mean = 10
			2	PhD	Mean = 17
Academic Advisors	Bachelor's; master's preferred	3+ years with bachelor's; 1 year with master's	2	Bachelor's	Mean = 5
			14	Master's	Mean = 8
Faculty with Part-Time Advising Appointments	Faculty status & subject matter expertise		5	Master's (3 terminal)	Mean = 17
			11	PhD	Mean = 15
EPA-Non-Faculty Staff with Part-Time Advising Appointments	Professional expertise in subject matter		3	Master's	Mean = 12

Professional Development and Training

AAP staff receive an extensive amount of professional development and training related to academic policies and procedures. A description of those activities is provided below, in addition to a summary of professional development and training related to other aspects of their jobs.

Academic Policy Training

The AAP conducts a comprehensive eight-week onboarding and training program for all newly hired advisors. Recognizing that learning and training is a continual process, this program prepares new advisors to facilitate, support, and foster students' retention and academic success. Two experienced advising team members serve as Primary Training Coordinators.

Additional trainers coordinate and execute specialized training related to department majors and

operations within the divisions (fine arts/humanities, social sciences, and natural sciences). Delivery formats used include workshops, lectures, panels, presentations, case studies, role-playing, mentoring, shadowing and reverse shadowing, websites, Sakai platform, webinars, Skype, email, and the *Academic Advising Program Handbook*.

Professional advising literature covered in the training includes *Academic Advising, A Comprehensive Handbook* (2000) and *Comprehensive Advisor Training and Development: Practices That Deliver* (2010).

The training framework uses academic advising scholar Wesley R. Habley's advising training model (1995) with a three-category perspective as described below.

Conceptual/Foundational Topics:

- Understanding specific institutional environments, the UNC-Chapel Hill student body, demographic backgrounds, and academic levels.
- Understanding college students in general and specific to UNC-Chapel Hill using college student development theories.
- Identifying how advising connects to the University, retention efforts, and the AAP mission statement.
- Highlighting advisor and student rights and responsibilities that provide context to the daily action of advising students.

Informational/Logistical/Factual Topics:

- Understanding institutional policies and regulations, major requirements, and rules.
- Identifying applicable resources on campus (who, where, how to contact).

Relational/Behavioral Topics:

- Learning/implementing the skills and tools needed to communicate the conceptual and informational components to students.
- Giving quality and consistency to advising meetings.

Goals for the New Advisor Training program for academic advisors include ensuring participants:

- Gain knowledge of University and campus culture.
- Review advising theory.
- Learn the UNC-Chapel Hill undergraduate curriculum and its majors.
- Get to know and shadow experienced advisors.

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- Learn academic policies and procedures.
- Participate in case study scenarios.
- Review the *Academic Advising Program Handbook*.
- Discuss professionalism in the workplace and set office expectations.
- Practice filling out paper and online forms.
- Practice interpersonal and “soft skills” (listening, communication, handling challenging students, and building relationships).

Academic policies and procedures, as found in the *Academic Advising Program Handbook* and the [Undergraduate Bulletin](#), are reviewed during New Advisor Training. These guides serve as continuing resources for all advising team members. The publications contain detailed information on the following academic policies and procedures: academic eligibility; add, drop, audit; advisor-student contact; academic appeals; by-exam credit; cancellation of enrollment; ConnectCarolina student records system; course substitutions; eight-semester limit; exam excuses; FERPA; Friday Center continuing education credit programs; graduation; inter-institutional programs; major and minor declaration; overloads; part-time classroom studies; pass/D+/D/fail; probation; professional schools; readmission; records; registration; repeating courses; service indicators; study abroad; Tar Heel Tracker degree audit system; transfer students; transferring courses; underloads; withdrawals; and worksheets.

Faculty members meet with advisors on a rotating basis in AAP divisional meetings to provide updates on departments, majors, curricula, and educational opportunities. During 2014, faculty from the following units participated in these discussions: Fine Arts and Humanities (Department of Philosophy, School of Journalism and Mass Communication, Pre-Graduate School and Pre-Health Professions), Natural Science and Mathematics (Biomedical Engineering, Mathematics, Dental Hygiene, Pre-Graduate School, Pre-Health Professions, School of Public Health, Environmental Sciences and Engineering, Chemistry, Clinical and Lab Sciences, Radiologic Sciences, Exercise and Sport Science, Environment and Ecology and Psychology) and Social and Behavioral Sciences (Global Studies; African, African American, and Diaspora Studies; Latin American Studies; Anthropology; and Archaeology).

Other Professional Development Activities

Departmental professional development and trainings are offered during biweekly advisor meetings and at other times. During 2014, the AAP conducted several departmental trainings. The training topics were selected to reflect a combination of campus updates on policies and best practices informed by the National Academic Advising Association (NACADA). [Examples of the training topics include academic eligibility updates, electronic withdrawal training, opportunities for global experiences, working with students with ADD/ADHD diagnoses, and a multiculturalism workshop.](#)

Individual AAP staff are encouraged to attend training events specific to their professional goals. [Recent examples include a Shadowing Program with University Career Services to understand linkages between that office and AAP, National Academic Advisors Association \(NAACDA\) national and regional conferences, and the National Institute for the Study of Transfer Students.](#)

The Performance Management Program in the AAP follows a strengths-based, developmental approach. The premise is that performance management is an ongoing process rather than an annual evaluation experience. The performance management cycle follows an academic year, beginning in the summer with individual professional goal setting, and with subsequent individual and group meetings throughout the year. Advisors are evaluated on technical and content knowledge, advising core competencies, leadership and initiative, and professionalism, responsibility and teamwork.

The associated performance management cycle, forms, rubrics, data sources, and discussion talking points can be seen in the [Performance Management packet](#).

Staff in the Academic Support Program for Student-Athletes (ASPSA)

The ASPSA staff members who provide academic support services to student-athletes hold a variety of positions at different levels:

- Assistant Provost and Director
- Three [Associate Directors/Academic Counselors](#)
- One [Associate Director/Learning Specialist](#)
- Seven [Academic Counselors](#)
- One [Tutor Coordinator/Assistant Director/Academic Counselor](#)
- One [Assistant Tutor Coordinator/Academic Counselor](#)
- Two [Learning Specialists](#)
- Two [Assistant Academic Counselors](#) (part-time interns)
- Two [Assistant Learning Specialists](#) (part-time)
- Approximately 91 [Tutors](#) (part-time)

Similar to the AAP staff, those listed above are professional employees classified as EPA Non-Faculty. [See response to [Comprehensive Standard 3.2.9 \(Personnel Appointment\)](#) for additional information]. Minimum requirements for all ASPSA full-time hires include at least a bachelor's degree and experience in education, counseling, or other student-related functions.

Education and Experience

An analysis of the qualifications of these employees showed that all full-time permanent academic

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counselors and learning specialists have advanced (master's or higher) degrees in areas such as counseling, education, psychology, criminology, and sports administration in addition to several years of experience working with high school to college-age students (including student-athletes).

The ASPSA part-time assistant academic counselors and assistant learning specialists all have advanced degrees (master's or higher) in areas such as Education or an undergraduate degree combined with several years of experience working with students. On average, the assistant academic counselors have fewer years of experience working with high school or college-aged students or student-athletes compared to the full-time academic counselors.

Academic tutors are expected to have a bachelor's degree. Hiring tutors who have not yet completed their undergraduate degrees is strongly discouraged; however, an exception can be made in certain cases, for instance when there is a need for expertise in a highly specialized subject area or for an individual who has an extensive amount of experience related to the topic. Exceptions must be approved by the ASPSA director. The director made an exception, for example, in 2013-14 for one tutor in the fall and one tutor in the spring for Wolof, a language spoken only in parts of Africa. For fall 2014, the director made two exceptions to hire Portuguese tutors who had completed extended mission trips to Brazil. Of the 103 staff, 80 are currently enrolled graduate students who are pursuing a doctoral degree (65%) or a master's degree (35%), four have doctoral degrees, and the remainder have master's or bachelor's degrees.

Academic Support Program for Student Athletes Staff Qualifications

	Position Requirements		Current Employees		
	Education	Years of Related Experience	N	Education	Years of Related Experience
Assistant Provost & Director			1	EdD	17
Assoc Dir Academic Counselor	Master's	3+	3	Master's	Mean = 12.67
Assoc Dir Learning Specialist	Master's	5+	1	PhD	15
Academic Counselor	Master's	2+	6	Master's	Mean = 13.17
Tutor Coord Academic Counselor	Master's	2+	1	Master's	21
Asst Tutor Coord/Academic Counselor	Master's	2+	1	Master's	5
Learning Specialist	Master's	2+	2	Master's	Mean = 9.5
Asst Acad Counselor	Bachelor's; Master's preferred	1+	2	Master's	Mean = 4.5
Asst Learning Specialist	Bachelor's	1+	2	Bachelor's	10
Monitor	Bachelor's		13	Bachelor's	Mean = 3.31
			1	Master's	3
Tutor	Bachelor's		1	HS	2
			1	Associate's	3
			32	Bachelor's	Mean = 3.81
			50	Master's	Mean = 5.96
			5	PhD	Mean = 17.2

Professional Development and Training

ASPSA staff at all levels undergo extensive training on UNC-Chapel Hill and NCAA policies and procedures. They also receive [training on topics such as expectations of academic integrity, how to provide appropriate academic assistance, and institutional values related to working with student-athletes](#). An extended description of the academic policy training provided to different kinds of staff such as academic counselors, learning specialists, and other personnel is provided below. In addition, the response to [Comprehensive Standard 3.4.9 \(Academic Support Services\)](#) describes the ongoing training and consultation on academic policy provided to ASPSA staff by the Academic Advising Program staff.

Academic Policy Training

ASPSA academic counselors are trained by staff in ASPSA and several other campus units throughout the year. As part of biweekly staff meetings, the AAP assistant deans provide the ASPSA staff with updates and reminders on policies and important deadlines. ASPSA and AAP staff also collaborate to

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create joint professional development opportunities for their employees. Guests from various campus offices, such as Counseling and Psychological Services, the Kenan-Flagler Business School, and Career Services attend the ASPSA staff meetings to offer presentations on student services.

Starting in November 2014, ASPSA started biweekly meetings to discuss University policies and NCAA regulations and bylaws. Participants have included academic counselors from ASPSA, the Office of the University Registrar, and the Department of Athletics Compliance Office. The Faculty Athletics Representative (FAR) chairs the meetings. This new initiative is expected to become an excellent forum to communicate regularly, exchange information, and articulate consistent expectations.

In addition, the ASPSA sends academic counselors and learning specialists to local conferences including the ACC Compliance Workshop and the N.C. State University North Carolina Drive-in Conference (statewide meeting of professionals who provide support to student-athletes), and one national conference a year for organizations such as the National Association of Academic Advisors for Athletics (N₄A) National Conference or NCAA Regional Rules Seminar.

The initial [training that assistant academic counselors receive](#) is similar to that of full-time academic counselors. However, they do not receive all the instruction about majors and technology from the AAP because their duties do not require such extensive knowledge.

[Newly hired assistant learning specialists receive extensive training](#). They attend a weekly meeting with the Learning Specialist Unit to provide continuous training opportunities including reviewing best practices, comparing strategies to employ with specific student-athletes, and discussing current topics.

Academic tutors and monitors receive four hours of training at the beginning of each academic year and an additional two hours at the beginning of the spring semester. Tutors and monitors hired after the start of the academic year watch recorded training sessions and receive individual instruction by a tutor coordinator. New writing tutors receive additional training. For example, in fall 2013, writing tutors were offered [a presentation](#) and [a book to be used for continuous training](#). Writing tutors are required to attend a minimum of [three sessions per semester](#) to discuss the information presented in the book.

When tutors and monitors begin employment in ASPSA, they receive a [comprehensive training manual](#). At the beginning of each academic year, tutors sign the [Academic Honesty and Confidentiality Agreement](#), and at the end of each semester, they complete the [Tutor Academic Integrity Exit Statement and Questionnaire](#). At the end of employment, tutors are provided with a [letter reminding them of important policies](#) with which they must comply after their employment has ended.

Student Affairs Staff

Student Affairs provides essential programs and services that enhance academic success and personal growth for more than 29,000 students enrolled in undergraduate, graduate, and professional programs.

The professional staff members oversee a wide variety of services that foster student learning and success and collaborate with academic programs to support student needs across the major areas of student life, health and wellness, leadership and service, as well as inclusion and access.

Similar to the AAP and ASPSA staff, Student Affairs professional staff are in positions that are not subject to the North Carolina State Personnel Act (EPA Non-Faculty); therefore, the position descriptions are varied and reflect the duties and needs of the unit. However, all of the professional positions require at least a bachelor’s degree and experience in education, student services, counseling, or related areas within higher education.

Education and Experience

This response provides an analysis of the professional staff in Student Affairs that displays education levels, years of relevant experience, and other professional preparation for this role. An analysis of these employees and their qualifications found that all have a bachelor’s degree and that over half have earned advanced degrees, including master’s, doctoral, and professional degrees (e.g., MD, JD) that are appropriate for their role or the standards of their profession. At the time of hire, all of the professional staff had student-related experience in a higher education setting.

Student Affairs Staff Qualifications

	Position Requirements			Current Employees	
	Education	Years of Related Experience	N	Education	Average Years of Related Experience
Administration					
Vice Chancellor	Master’s	5-7	1	JD	Exceeded minimum
Associate Vice Chancellor	Master’s	5-7	2	Doctoral	Exceeded minimum
Assistant Vice Chancellor	Master’s	3-5	1	Master’s	Exceeded minimum
Dean	Master’s	5-7	1	Doctoral	Exceeded minimum
Assistant Dean	Master’s	1-3	2	Master’s	Exceeded minimum
Director	Bachelor’s	5-7	1	Bachelor’s	Exceeded minimum
	Master’s	5-7	7	Master’s	Exceeded minimum
			3	Doctoral	Exceeded minimum
			3	MDiv	Exceeded minimum
Associate Director	Master’s	3-5	7	Master’s	Exceeded minimum
			2	Doctoral	Exceeded minimum
Assistant Director	Master’s	1-3	15	Master’s	Exceeded minimum
			1	Doctoral	Exceeded minimum
Inst Assessment Specialist	Master’s	0-3	1	Doctoral	Exceeded minimum
Inst Policy/Compliance Prfsnl	Master’s	3-5	1	Master’s	Exceeded minimum

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Residential/Housing Professionals					
Stu Housing Community Director	Master's	0-2	15	Master's	Exceeded minimum
			1	JD	Exceeded minimum
Student Housing Professional	Master's	2-5	3	Master's	Exceeded minimum
Student Activities Coordinator	Master's	1-3	1	Master's	Exceeded minimum
Program Managers and Coordinators					
University Program Manager	Bachelor's	3	1	Bachelor's	Exceeded minimum
University Program Associate	Bachelor's	or Equivalent Exp	3	Master's	Exceeded minimum
University Program Specialist	Bachelor's	1	3	Bachelor's	Exceeded minimum
			1	Master's	Exceeded minimum
Program Coordinator	Master's	1-3	4	Master's	Exceeded minimum
Career Services Professional	Master's	1-3	5	Master's	Exceeded minimum
			1	Doctoral	Exceeded minimum
Student Services Specialist	Bachelor's	or Equivalent Exp	1	Bachelor's	Exceeded minimum
Support Services Associate	HS Diploma	None	1	High school	Exceeded minimum
			1	Bachelor's	Exceeded minimum
Health Professionals					
There are 89 Health Professionals in Student Affairs including Physicians, Psychologists, Nurses, Pharmacy Technicians, and others. These positions require specific training, professional certification, and/or licensure to be eligible for employment.					

Professional Development and Training

Student Affairs ensures the continued growth and development of employees by providing professional development opportunities both centrally and within individual departments. The Student Affairs Professional Development Committee is the primary structure for providing workshops and other training across the organization. The committee is charged with assessing, coordinating, and implementing a competency-based training and development model for Student Affairs staff. The professional development sessions are designed to address a combination of staff needs, campus or local community concerns, and national trends and issues. The goal of the professional development efforts in Student Affairs is to help staff excel in the professional competency areas identified by the American College Personnel Association and the National Association of Student Affairs Professionals Joint Task Force on Professional Competencies and Standards. Competency areas include:

- Advising and Helping
- Assessment, Evaluation, and Research

- Equity, Diversity, and Inclusion
- Ethical Professional Practice
- History, Philosophy, and Values
- Human and Organizational Resources
- Law, Policy, and Governance
- Leadership
- Personal Foundations
- Student Learning and Development
- Technology

The Professional Development Committee offers four to five workshops in the fall and spring semesters, and a full-day conference. A listing of program offerings for spring 2014, summer 2014, fall 2014 and the 2014 Winter Conference, along with an evaluation of each session, is provided [here](#).

The Student Affairs Assessment Council offers an array of assessment spotlight workshops throughout the academic year. The purpose of these workshops is to develop staff expertise in conducting quality assessment activities to improve programs, services, and operations in Student Affairs.

Student Affairs employees receive support to attend and present at local, regional, and national conferences. Examples of professional organization involvement include regional, state and national awards; presentations; publications; and advanced certificates earned in 2013 and 2014 are provided [here](#).

Offices of the University Registrar, Scholarships and Student Aid, and Undergraduate Admissions

The professional staff in the Offices of the University Registrar, Scholarships and Student Aid, and Undergraduate Admissions recruit and admit a diverse and talented student body; ensure that students have an opportunity to complete their education regardless of their financial resources; and support enrolled students by facilitating their registration, resolving academic problems, and protecting the integrity and privacy of their academic records.

The professional positions held by these employees are not subject to the North Carolina State Personnel Act (EPA Non-Faculty). Therefore, the qualifications for each position are based on the unique duties of the position; however, all include the minimum requirement of a bachelor's degree and experience related to student services or other areas of higher education.

COMPREHENSIVE STANDARD 3.9.3

Qualified Staff

Education and Experience

This response provides a list of the professional staff in the Offices of the University Registrar, Scholarships and Student Aid, and Undergraduate Admissions that displays each member's education levels, years of relevant experience, and other professional preparation for this role. An analysis of these employees and their qualifications indicated that all have a bachelor's degree and that at least three quarters have earned advanced degrees, including master's, doctoral, and professional degrees (e.g., MD, JD) that are appropriate for their role required for practice in their profession. At the time of hire, all of the professional staff had student-related experience in a higher education setting.

Staff Qualifications

Offices of the University Registrar, Scholarships & Student Aid, and Undergraduate Admissions					
	Minimum Position Requirements		Current Employees		
	Education	Years of Related Experience	N	Education	Years of Related Experience
Vice Provost	Master's; doctorate preferred	10	1	ABD	24
Associate Provost	Master's; doctorate preferred	10	1	JD	46
Assistant Provost	Master's; doctorate preferred	10	1	PhD	20
Senior Associate Director	Bachelor's; Master's preferred	5+	2	Master's	Mean=26
			1	Bachelor's	36
Associate Director	Bachelor's; Master's preferred	5+	2	PhD	Mean=24
			1	Master's	37
Senior Assistant Director	Bachelor's; Master's preferred	3+	1	JD	11
			1	PhD	16
			7	Master's	Mean=18
			3	Bachelor's	Mean=18
Assistant Director	Bachelor's; Master's preferred	2+	12	Master's	Mean=10
			6	Bachelor's	Mean=11

Professional Development and Training

New employees in all three offices undergo an extensive amount of training in preparation for carrying out their duties in support of students, and are provided with resources to continue their professional development throughout their careers at UNC-Chapel Hill.

University Registrar

The Office of the University Registrar requires all new employees to attend formal training sessions on academic policy that are conducted by their direct supervisors. These sessions include a comprehensive review of the academic policies sections of the *Undergraduate Bulletin* and the *Graduate Record*. Additionally, the office maintains a comprehensive repository of policy and training documents.

As described earlier in this response, the Office of the University Registrar is responsible for providing much of the on-campus training in academic policies and procedures for all student services staff. The Registrar's office has representatives who serve on the University's Curriculum Committee, and the University Registrar serves as an ex officio member of the Faculty Council's Educational Policy Committee.

As part of ongoing professional development, employees are also actively involved in national and regional forums on academic trends, federal policies, and best practices in the profession. Specifically, two representatives attend the NCAA and ACC conferences, and several other employees participate in the American Association of Collegiate Registrars and Admissions Officers (AACRAO), the Southern Association of Collegiate Registrars and Admissions Officers (SACRAO), and the Carolinas Association of Collegiate Registrars and Admissions Officers (CACRAO). The Veterans Affairs specialist attends meetings and conferences of the North Carolina Association of Veterans Affairs. All policy updates and national trends are shared at all-staff meetings. This setting enables employees to discuss any current issues and emerging trends.

Because of the changing nature of the services provided to students and the technology that supports these operations, professional development related to best practices in service delivery, student data security, and related topics is an ongoing need. Staff attend trainings and work with consultants to ensure that the self-service applications created to improve the student experience and enrollment processes are efficient and helpful while still maintaining adequate levels of security.

Scholarships and Student Aid

As noted in the University's response to [Federal Requirement 4.7 \(Title IV Program Responsibilities\)](#), scholarship and financial aid officers are trained to administer the rules for satisfactory academic progress (SAP) that apply to recipients of federal financial aid. To the extent that the administration of SAP requires that financial aid officers understand the University's academic deadlines, these officers are trained in these deadlines. Because these officers are not expected or permitted to provide academic advice to students, they are not trained in other academic procedures.

Undergraduate Admissions

The Office of Undergraduate Admissions requires all admissions officers and application evaluators to attend comprehensive application evaluation training that includes discussions of the University's academic policies and standards. These staff members are required to review annually the *Foundations and Practices Regarding the Evaluation of Candidates*, which includes the University's mission and Academic Plan and guidance from the Faculty Council's Advisory Committee on Undergraduate Admissions. In addition, admissions officers and other employees who evaluate transfer credit receive comprehensive training in this function, and meet regularly with deans and others in the College of Arts and Sciences responsible for the undergraduate curriculum. Admissions officers also attend annual conferences of the College Board and the National Association for College Admissions Counseling.

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Qualified Staff

Next Steps

The University will continue to monitor and evaluate the hiring, training, and professional development of all professional staff in student services to ensure their continued ability to effectively accomplish the mission of the institution. All professional student services staff will continue to be expected to engage in continuous improvement and professional development activities to remain capable of providing excellent service to our students. The University will continue to expect staff members to represent high levels of honesty, integrity, diligence, and excellence in all aspects of their work.

Conclusion

The University employs a large number of student services professionals who work to ensure that our students have access to quality services consistent with the mission of the institution. These professional employees meet or exceed the educational and experience requirements for their positions and consistently undergo rigorous training and professional development activities in order to meet high expectations of honesty, integrity, diligence and excellence.

References

[UNC-Chapel Hill Professional Development Course List](#)

[University Registrar Training Materials](#)

[New Student Services Staff Welcome Letter](#)

[Office of Undergraduate Curriculum Informational Sessions](#)

[UNC-Chapel Hill *Undergraduate Bulletin*](#)

[Departmental Training and Professional Development Examples](#)

[Professional Goal Training Event Examples](#)

[Academic Advising Program Performance Management Packet](#)

[Associate Director/Academic Counselor Job Description](#)

[Associate Director/Learning Specialist Job Description](#)

[Academic Counselor Job Description](#)

[Tutor Coordinator/Assistant Director/Academic Counselor Job Description](#)

[Assistant Tutor Coordinator/Academic Counselor Job Description](#)

[Assistant Academic Counselor Job Description](#)

[Assistant Learning Specialist Job Description](#)

[Tutor Job Description](#)

[ASPSA Learning Services Training](#)

[Assistant Learning Specialist Summary of Training](#)

[Writing Tutors Training Presentation, Fall 2013](#)

[*A Tutor's Guide: Helping Writers One to One*](#)

[ASPSA Tutor Training Manual](#)

[Academic Honesty and Confidentiality Agreement](#)

[Tutor Academic Integrity Exit Statement and Questionnaire](#)

[Tutor Departure Letter](#)

[Professional Development Committee Programs](#)

[Student Affairs Employee Professional Organization Involvement](#)

Comprehensive Standard 3.13.1 Policy Compliance

SACSCOC Request for Information Related to this Standard

This standard expects an institution to comply with the policies of the Commission on Colleges.

In the November 13, 2014 letter from SACSCOC, the University of North Carolina at Chapel Hill was asked to explain and document the extent of its compliance with this standard by addressing the following specific requests for information:

The institution is requested to demonstrate its compliance with the following two commission policies: (1) “Credit Hour” and (2) “Advertising, Student Recruitment, and Representation of Accredited Status.”

“Credit Hour,” specifically, address institutional practice as it relates to the policy (Cross reference to FR 4.9)

“Advertising, Student Recruitment, and Representation of Accredited Status.” Specifically address the issue in the SACSCOC policy regarding accurate depiction of publications and misrepresenting abilities required to complete an intended program (Cross reference to FR 4.6).

Summary

As a member in good standing with the Commission, a university is obligated to comply with the policies of the Commission on Colleges. This section of the report documents the University’s compliance with SACSCOC policies regarding credit hours and advertising, student recruitment, and representation of accredited status. This section also describes steps the University is taking to ensure ongoing compliance with these standards.

- Consistent with its high standards of academic excellence and commitment to institutional integrity, the University maintains a challenging curriculum administered by faculty with high expectations.
- In order to align prospective and incoming students with the University’s goals, the University’s policies regarding its admissions process, curriculum, and monitoring of student performance are published in the Undergraduate Bulletin, which is available online and provided to all first-year students during orientation.
- The admissions office takes affirmative steps to communicate the skills necessary to thrive at Carolina to prospective students, engaging on social media and providing resources on its website.

Actions

Credit Hours

A complete description of UNC-Chapel Hill's [Credit Hour Policy](#), its development and implementation, and details on how it is monitored to ensure course integrity is provided in the response to [Federal Requirement 4.9 \(Credit Hours\)](#). As requested by SACSCOC, the response below focuses on examples of institutional practice related to the policy.

The College of Arts and Sciences and each professional school approve all courses authorized for degree credit by its departments through the action of its own administrative board. Procedures for awarding course credit have for many years adhered to the [University of North Carolina policy](#), which, based on the Carnegie unit for contact time, requires a minimum of 750 scheduled minutes of instructional time or the equivalent per credit hour. The 180-minute final examination period is included in the total instructional time. UNC-Chapel Hill's Credit Hour Policy, approved in 2012, is also consistent with the SACSCOC Credit Hour Policy and the federal definition of a credit hour.

Examples of Credit Hour Practices by Course Meeting Type

The following examples demonstrate how UNC-Chapel Hill ensures that meetings with the instructor and related group activities for face-to-face courses conform to the expectation of 750 minutes for each credit hour to be awarded. [See also the [response to Federal Requirement 4.9](#) (Definition of Credit Hours) for examples of how credit hours are awarded.]

Traditional Lecture and Seminar Classes

Undergraduate classes and graduate lecture or seminar classes typically meet for 50 minutes on a Monday, Wednesday, and Friday schedule or 75 minutes on a Tuesday and Thursday (or other two-day) schedule and confer three academic credit hours. The [fall 2014 academic calendar](#) included 42 class periods of 50 minutes each on Monday, Wednesday, and Friday, and 29 class periods of 75 minutes each on Tuesday and Thursday. With the required final examination period of 180 minutes, these classes average more than 750 minutes of instructional time per credit hour.

Lecture Courses with Recitation or Laboratory Sections

Many social science courses require students to attend a weekly non-credit bearing recitation section in addition to the lecture class for three credit hours. For example, ["Introduction to Economics" \(ECON 101\)](#) requires a 50-minute weekly recitation in addition to a Tuesday/Thursday 75-minute lecture for a total of 1,035 minutes per credit hour including the final exam.

Natural science courses often consist of a three-credit hour lecture section and an accompanying laboratory experience for one credit hour. For example, ["Introduction to Organic Chemistry II" \(CHEM 262\)](#), requires a lecture section that meets three times a week for 50 minutes, weekly lab that meets for 170 minutes and a final exam for a total of 1,253 minutes per credit hour.

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Courses with Alternative Scheduling Patterns

The “Maymester” is an intersession three-credit hour learning experience offered immediately following the spring semester. The course is an intensive face-to-face session lasting three weeks as opposed to the five-and-a-half-week regular summer session. Departments must submit a proposal to offer a Maymester course to the Office of Undergraduate Curriculum. That office reviews the proposed course to ensure that the content is appropriate for this format and that the total hours of class meeting time are consistent with the 750 minimum minutes per credit hour requirement for all courses. [“Comparative Healing Systems” \(ANTH 147\)](#) was offered as a Maymester course in 2014. It consisted of 13 class meetings of 195 minutes each plus a 180-minute examination for a total of 905 minutes per credit hours.

Courses offered by graduate programs designed for working professionals often meet on a schedule that varies from the typical Monday-Wednesday-Friday or Tuesday-Thursday arrangement. For example, [EDUC 730, “Curriculum Leadership for the School Executive,”](#) (three credit hours) meets for 170 minutes one evening a week (total of 850 minutes per credit hour) to fit the schedules of graduate students who are school administrators.

Many professional programs offer specialized courses that meet for fewer than the typical 150 minutes each week, with the credit hours adjusted accordingly. The School of Medicine’s doctoral program in speech and hearing sciences offers [SPHS 811, “Pediatric Audiology,”](#) for two hours of credit with one 105-minute meeting each week for 788 contact minutes per credit hour.

In the Kenan-Flagler Business School, some portions of the MBA curriculum are offered as modules to expose students to a broader range of topics. A module is the equivalent of half a semester of instruction plus a final examination for a total of 1.5 credit hours. For example, [MBA 754A, “Innovation and Design Thinking,”](#) involves 15 meetings of 80 minutes each over seven weeks plus the final examination for a total of 920 minutes of instructional time per credit hour.

Independent Study Courses

Although [independent studies](#) generally involve less formal contact time with course instructors than do the courses described above, they are nevertheless subject to similar expectations concerning the overall amount of time they require.

As of 2013, students enrolled in any independent study in the College or any school of the University must execute an Independent Study Learning Contract that specifies the work to be produced and the approximate time commitments required for various activities, including the frequency of meetings with the instructor. University Policy Memorandum 30 specifies that students are expected to “devote a minimum of three hours each week for each credit hour of independent study, or at least nine hours per week for a three-credit independent study course.” At least three hours of independent work per week is expected for each unit of credit, and a final written paper, report, or artistic work is required. This contract must be approved by the department chair and the dean (or senior associate dean in the College of Arts and Sciences) prior to the beginning of the term. [Samples of these contracts can be viewed here.](#)

For students entering before the fall 2006 term, the University imposed no limits on the number of independent study courses that could be applied toward graduation. Nor did the University have in place any clear procedures for monitoring enrollments in independent studies. As noted in the University's responses to Comprehensive Standard 3.4.5 (Academic Policies) and Federal Requirement 4.9 (Definition of Credit Hour), the University has acted repeatedly since 2012 to improve policies and procedures regarding independent studies.

Supervised Clinical Experience Courses

For courses that primarily involve clinical experiences, the number of required contact hours per credit hour earned often greatly exceeds the minimum 750 minutes equivalency for regular lecture courses. For example, [RADI 473, "Clinical Education I,"](#) which confers four credit hours, requires 80 contact hours per month of practice in a health-care facility, for approximately 1,200 minutes per credit hour. [ANES 409, "Pain Management,"](#) is a clinical rotation for medical students. Students spend eight hours per day for four weeks in the clinic and earn six credit hours for an average of 1,600 minutes per credit hour.

Performing Arts Courses

Music ensemble courses and faculty-taught individual music lessons typically meet for more than the minimum of 750 minutes per credit hour. [MUSC 123, "Diction 1/Italian,"](#) includes two 50-minute meetings each week plus the final examination for 1,630 minutes, for one credit hour. [MUSC 212, "Ensemble II,"](#) is a one-credit hour class that meets for two hours one day a week for a total of 1,860 per credit hour including the final examination.

MUSC 130, "Musicianship Skills I," includes a 50-minute lecture and a 50-minute recitation each week for a total of two credit hours (750 minutes per credit hour). Some performance courses meet on a schedule comparable to lecture courses. For example, [MUSC 308, "Intermediate Conducting,"](#) meets twice a week for 75 minutes for three credit hours.

Variable Credit and Special Topics Courses

Many departments offer course sections for variable credit hours in which the meeting times and credit hours can be adjusted to fit the course content and requirements. An example is [BUSI 899, "Special Topics,"](#) a graduate seminar. In one recent semester, one section was scheduled to meet for 75 minutes a week for 1.5 credit hours (750 minutes per credit hour), while another section met one day a week for 180 minutes for three credit hours (about 900 minutes per credit hour). Departments are also allowed to offer special topic courses to address a specific subject area not covered by regular courses in the curriculum. The contents and the credit hours to be awarded for these special topic courses must be reviewed and approved by the department in advance. In addition, a special topic course cannot be offered more than twice without being proposed and approved as a regular course.

Off-Campus Courses and Distance Learning Courses

Courses offered on a face-to-face basis in which the instructor and students meet at an off-campus location must adhere to the same minimum requirements for class meeting minutes per credit hour as

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those offered on campus. For example, UNC-Chapel Hill students in the [Master of Social Work degree program offered in Winston-Salem, North Carolina](#), take two three-hour courses each semester. The students and the instructor meet from 9 a.m. to 5 p.m. on Fridays at the Forsyth County Department of Social Services (approximately 900 minutes per credit hour).

[Carolina Courses Online](#) offered through the William and Ida Friday Center for Continuing Education follow the same 15-week semester schedule as on-campus courses. Students are expected to participate in an online discussion forum on a weekly (or sometimes more frequent) basis, and to submit assignments at a pace that is consistent with the same or similar courses offered on campus. For example, the syllabus for the Carolina Courses Online version of [INLS 151, "Retrieving and Analyzing Information,"](#) states that the total time commitment is similar to that of most three credit hour courses -- approximately nine hours per week. Students enrolled in three credit-hour [Self-paced Courses](#) submit lessons either online or through the mail to their instructor. Enrollees are given up to nine months to complete such courses, with a minimum completion time of 12 weeks. In all cases, the content of distance learning courses and expectations for time and effort are comparable to corresponding on-campus courses.

Advertising, Student Recruitment, and Representation of Accredited Status

The SACSCOC policy on "*Advertising, Student Recruitment, and Representation of Accredited Status*" states that, "All accredited higher education institutions, or individuals acting on their behalf, must exhibit integrity and responsibility in advertising, student recruitment, and representation of accredited status." The policy includes 15 requirements under three broad headings. This response addresses two requirements about advertising, publications, and promotional literature, and one requirement about student recruitment for admissions.

Advertising, Publications, and Promotional Literature

"Official publications are readily available and, where appropriate, accurately depict ... admission and enrollment requirements and procedures for all types of students (e.g., first-year, transfer students, dual enrollment, transient, etc.) and basic information on programs and courses, with required sequences and frequency of course offerings explicitly stated"

Undergraduate Bulletin

The University's primary official publication is the [Undergraduate Bulletin](#). Published each May, the *Bulletin* contains information about UNC-Chapel Hill academic programs, including admissions requirements, schedules of tuition and fees, information about financial aid, and program and course descriptions.

All admitted first-year students receive a printed copy of the *Bulletin* when they visit campus for New Student Orientation. In addition, the current *Bulletin* is available both as [searchable webpages](#) and as a [downloadable file](#) in portable document format (PDF). The University also maintains an [electronic archive](#) of previous editions dating back to the 1997-1998 academic year. These resources

are linked to the webpages of many UNC-Chapel Hill offices and departments, including the Office of Undergraduate Admissions, the Office of the University Registrar, and the Office of Academic Advising.

As noted in the University's response to [Comprehensive Standard 3.4.3](#) (Admissions Policies), the *Undergraduate Bulletin* includes the [trustee policy on admissions](#) as well as a [description of admissions requirements](#) that derives from statements and guidelines approved by the Faculty Council's [Advisory Committee on Undergraduate Admissions](#). The description of admissions requirements includes detailed information for first-year, transfer, and part-time classroom studies admissions, as well as for readmissions. Both the trustee policy and the description of admissions requirements are accurate as currently described, and they are reviewed annually for accuracy by the admissions office. The *Bulletin* refers readers seeking further information about admissions to the [Office of Undergraduate Admissions](#).

The *Bulletin* provides information about nearly every aspect of undergraduate studies, including [general education requirements](#), [degree requirements](#), and [academic procedures](#). The *Bulletin* also includes general information, including major and minor requirements and curriculum sequences, for all [academic units](#) that teach undergraduate students. For each unit, the *Bulletin* provides an introduction; a list of programs of study, with required and recommended courses; information about specialized opportunities, including honors and study abroad; a general description of graduate school and career opportunities; a list of courses; and one or more contacts for readers who seek further information. The information about general education requirements, degree requirements, and academic procedures is accurate as currently described, and it is reviewed annually for accuracy by the College of Arts and Sciences. The information about each academic unit is accurate as described and reviewed annually for accuracy by the unit.

Office of Undergraduate Admissions

Prospective students also learn about the University's academic and admissions requirements through print and electronic publications produced by the Office of Undergraduate Admissions.

As noted in the University's response to [Comprehensive Standard 3.4.3](#) (Admissions Policies), the admissions office does not consider first-year candidates in light of the academic requirements of any specific major, since all such candidates enroll in the General College of the College of Arts and Sciences and have two years to declare their majors. Nor are transfer applicants to the College of Arts and Sciences, who comprise 95% of all undergraduate transfer students applying to the University each fall, admitted to specific majors.

As a result, the print and electronic recruitment publications produced by the Office of Undergraduate Admissions provide general information about the University, including its academic opportunities, expectations, environment, and community of students. Rather than maintain and provide detailed information, including degree requirements, for specific majors, admissions publications direct students to other resources — for example, departmental webpages and the [Undergraduate Bulletin](#) — where they can learn more about majors that appeal to them.

Most publications produced by the admissions office are electronic and offered through the [admissions](#)

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[website](#), which is the primary repository for admissions and enrollment requirements and procedures for all types of prospective undergraduate students. The website provides detailed information about application requirements and admissions procedures for [first-year](#), [transfer](#), [part-time](#), and [readmission](#) students. The website also lists the [programs of study](#) offered by the University, with each program linked to the respective program webpage for more information on requirements for the majors and minors. The website also provides links to [admissions and other University policies](#) and various links to the *Undergraduate Bulletin*.

Examples of admissions print publications include the [brochure mailed to high school seniors](#) in August and the [fact sheet for prospective first-year students](#) that is distributed at college fairs and in the admissions office. Both of these publications direct students to the [admissions website](#).

All admitted first-year students are also mailed a copy of a printed [admit brochure](#), which provides a general overview of what they may expect from the Academic Advising Program (AAP) and the requirements they must meet to enroll. This information is also listed on the admissions website in the [enrollment checklist for first-year students](#).

Student Recruitment for Admissions

“Official publications are readily available and, where appropriate, accurately depict ... general education requirements demonstrating that the general education component is at the collegiate level and (1) is a substantial component of each undergraduate degree, (2) ensures breadth of knowledge, and (3) is based on a coherent rationale. Publications incorporate the specific general education courses included in the three areas of knowledge: humanities and fine arts, social and behavioral sciences, and natural sciences and mathematics. Publications include student options for selecting general education courses and, in particular, those considered pure humanities/fine arts to assure the courses do not narrowly focus on those skills, techniques, and procedures specific to a particular occupation or profession. If an institution uses a unit other than semester credit hours, it provides an explanation for the equivalency. The institution also provides a justification if it allows for fewer than the required number of semester credit hours or its equivalent unit of general education courses, degree and program completion requirements, including length of time required to obtain a degree or certificate of completion”

The *Undergraduate Bulletin* clearly describes the [general education requirements](#) for all undergraduate degree programs at the University. The introduction to the general education requirements states clearly that “the general education component is at the collegiate level,” that it “is a substantial component of each undergraduate degree,” and that it “ensures breadth of knowledge.”

The *Undergraduate Bulletin* also explains that the general education requirements reflect the faculty’s intent to make that portion of the undergraduate experience more integrated and meaningful for students. States the *Bulletin*, “The University of North Carolina at Chapel Hill strives to cultivate the range of skills, knowledge, values, and habits that will allow graduates to lead personally enriching and socially responsible lives as effective citizens of rapidly changing, richly diverse, and increasingly interconnected local, national, and worldwide communities.”

To this end, the curriculum seeks to provide for all students 1) the fundamental skills that will facilitate future learning, 2) broad experience with the methods and results of the most widely employed approaches to knowledge, 3) a sense of how one might integrate these approaches to knowledge in ways that cross traditional disciplinary and spatial boundaries, and 4) a thorough grounding in one particular subject. The undergraduate major is dedicated to the last of these curricular objectives; the others fall under the purview of the General Education curriculum.” (p. 26)

The description includes the broad categories that comprise the general education curriculum:

- Foundations, or “foundational skills and knowledge,” including skills in writing, foreign language, quantitative reasoning, and lifetime fitness.
- Approaches, or “six distinct approaches to knowledge, as represented by courses in the physical and life sciences, the social and behavioral sciences, historical analysis, philosophical and/or moral reasoning, literary arts, and the visual and performing arts.”
- Connections, or learning that “builds on previously acquired knowledge and establishes links between discrete forms of knowledge, both by encouraging disciplinary contact and conversation and by inviting students to develop and apply their academic expertise in environments beyond the University classroom.”

The *Bulletin* states that these three broad general education categories, in addition to the major, comprise the entire undergraduate curriculum and are required for any undergraduate degree. The same section lists all undergraduate courses that may be used to satisfy the various general education requirements. It also describes which requirements — for example, the Foundations requirement in a foreign language — may be satisfied by placement exam.

The *Bulletin* also describes in detail the [undergraduate degree requirements](#), which students are “expected to complete ... in eight semesters.” For example, students must:

- Complete successfully at least 120 semester hours of coursework and attain a final cumulative grade-point average of at least 2.0.
- Satisfy all general education requirements (while noting that students in some Bachelor of Science degree programs offered by the University’s professional schools may be required to complete reduced requirements).
- Earn a minimum of 45 semester hours of credit from UNC-Chapel Hill courses, including at least 24 of the last 30 credit hours earned and applied toward the degree.

The *Bulletin* elsewhere notes that students should [average 15 academic hours each semester](#) to meet the graduation requirement of 120 academic hours within the eight-semester limit.

In addition to the *Bulletin*, the University provides official information regarding the general education curriculum and other degree requirements through resources published by the [Office of Academic Advising](#). The [curriculum tools](#) section of the advising website lists four resources that students may

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Policy Compliance

use “to identify and explore curriculum requirements, including general education, major, and minor requirements”:

- Tar Heel Tracker, the University’s degree-audit system, which allows each enrolled student to explore majors and monitor progress toward degree completion.
- Academic Worksheets, each of which allows students to view all the requirements for each of the University’s undergraduate degrees.
- Information on Majors, a list that links to basic information (including a faculty contact) for each undergraduate major.
- *The Undergraduate Bulletin*, which the website describes as “the definitive source for general education, major, and minor requirements.” Students are instructed to use the edition of the *Bulletin* for the year they matriculated at the University.

With the exception of Tar Heel Tracker, which is available only to enrolled students, all of the resources listed above are public documents and available to prospective students.

Academic Advising publishes an [Academic Advising Guide](#) to help enrolling students understand graduation requirements, course placements and credit, and course registration. The *Guide* is provided to enrolling students during the summer before they matriculate at the University and is also publicly available.

The Office of Undergraduate Admissions [website](#) describes the general education curriculum and undergraduate degree requirements in several places. When visitors click the [Explore](#) button at the top of the website, they go to a webpage that includes a link titled [Academics](#). This link takes visitors to a webpage that provides a link to [Majors, Minors, and Concentrations](#) at the University, which lists all undergraduate degree programs, with links to the departmental resources for each program, as well as to introductory text that describes the curriculum as follows:

“During your first two years, you’ll complete general education courses that comprise the foundation of your undergraduate education, beginning your studies in year one in the College of Arts and Sciences. Depending on your interests, you may also begin taking prerequisites to prepare for your intended area(s) of study. These two years offer you the freedom to explore your interests and learn about the University, putting you in great shape to find your focus and get the most out of your time here. All told, we offer more than 70 majors and minors within 60 departments.”

Both this introductory text and the links to departmental websites that follow it are in keeping with the approach that the admissions office takes in communicating with prospective undergraduate students: write, maintain, and communicate general information about the University’s academic programs, while directing students who seek greater detail to departmental and other resources.

When visitors click the [Enroll](#) button at the top of the admissions website, they go to a webpage that provides links to information for students who were offered admission. One link, [Welcome to Carolina](#), takes visitors to electronic versions of the paper resource brochures that are sent by mail to admitted

[first-year](#), [transfer](#), and [international](#) students. The first-year brochure, for example, includes pages that focus on academic advising and direct students to the [Academic Advising Guide](#) mentioned above.

Student Recruitment Practices

“Institutions avoid the following recruitment practices in order to comply with the Principles of Accreditation and U.S. Department of Education regulations: ... misrepresenting abilities required to complete intended program ”

UNC-Chapel Hill does not misrepresent the abilities required to complete its undergraduate course of study. All of the information described above -- whether from the [Undergraduate Bulletin](#), the [Office of Academic Advising](#), or the [Office of Undergraduate Admissions](#) -- represents accurately, whether explicitly or implicitly, the challenging nature of the curriculum, the academic expectations of the faculty, and the skills required to complete the undergraduate program.

One example of explicitly communicated expectations appears in the [discussion of general education requirements](#) in the *Undergraduate Bulletin*, under a heading titled “Note on the Importance of Communication Skills.” The section reads:

“The faculty of the General College and the College of Arts and Sciences expects students to write and speak effectively. Instructors should help students realize that there is a direct relationship between thinking clearly, writing clearly, and speaking clearly. Faculty members in all disciplines and professions should therefore develop the writing and speaking skills of their students. Students should expect to be graded on spelling, grammar, and style, as well as on the content and organization of their written work; in addition, students should expect to be graded on presentation, style, poise, and diction, as well as on the content and organization of their oral presentations.”

Other examples of explicit communication about required skills appear in the *Bulletin’s* [discussion of the Foundations component](#) of the general education curriculum. The *Bulletin* observes that students may prepare to meet the English composition and rhetoric requirement while in high school “by taking courses in English composition and speech communication beyond the requirements for admission to the University.” Where the foreign-language requirement is concerned, the *Bulletin* encourages students to “improve their preparation by continuing their foreign language study through the senior year of high school,” preferably completing “four years of one high school language rather than ... two years each of two different languages.” Regarding the requirement in quantitative reasoning, the *Bulletin* notes that “Students should prepare by taking precalculus and/or calculus in high school and by continuing their mathematical studies through their senior year of high school. Not doing so may put them at a disadvantage when they arrive at the University.”

As previously discussed, the *Undergraduate Bulletin* also defines in detail the University’s general education requirements for undergraduate students; lists required; and recommended courses for all undergraduate majors. The *Bulletin* describes briefly every course available to undergraduates. All of these descriptions communicate the skills that students will be required to develop to complete the undergraduate program.

COMPREHENSIVE STANDARD 3.13.1

Policy Compliance

For example, in the section about the [Department of Exercise and Sport Science](#), the *Bulletin* includes this introduction:

“Exercise and sport science examines the physics, physiology, and psychology of sport and exercise, the recognition and treatment of athletic injuries, and the administration of athletics. The general major provides foundational courses in exercise science. The athletic training program within the Department of Exercise and Sport Science can prepare students to work as a certified athletic trainer for high school, college, or professional sports teams. Students interested in sport administration can build a foundation in the management of sport. Sport administration career options include almost anything related to amateur, interscholastic, or professional sports. The fitness professional program is designed to prepare students for careers in a variety of health-related fields, including but not limited to entry-level positions in the health-fitness industry; personal training of amateur, professional, and recreational athletes; exercise therapy for a range of clinical conditions; or graduate study in exercise physiology. Other career options for majors include strength-conditioning coach for an athletic team; exercise research within the athletic, medical, or pharmaceutical industries; or fitness club entrepreneur. By choosing additional courses, students can apply to schools of physical therapy, occupational therapy, public health, nursing, or medicine.”

The *Bulletin* describes in detail the requirements for the Bachelor of Arts degree with a major in sport science, as well as the requirements of the three concentrations — athletic training, fitness professional, and sport administration — available in the department, clearly noting that the major and all concentrations require grades of C or better in each of the following core courses:

- EXSS 175: Human Anatomy
- EXSS 276: Human Physiology
- EXSS 288: Emergency Care of Athletic Injuries and Illnesses
- Either EXSS 220: Fitness Management or EXSS 221: Introduction to Sport and Recreation Administration

In addition, the *Bulletin* clearly states that each student majoring in exercise and sport science is required to complete the following additional courses:

- MATH 110: Algebra
- BIOL 101: Principles of Biology and Biology 101L: Introductory Biology Laboratory

Taken together, the description of the major and the list of major requirements accurately represent the skills, including the scientific and quantitative skills, that students will need to complete the degree.

The publications of the [Office of Academic Advising](#), including the [Academic Advising Guide](#), repeatedly

underscore these same messages, in many cases linking directly to the *Bulletin's* descriptions of required skills.

Although the approach of the [Office of Undergraduate Admissions](#), as noted above, is more general and less detailed, the admissions office also represents clearly and accurately the skills required to complete the undergraduate program. When visitors click the [Apply](#) button at the top of the admissions website, they go to a page that includes resources for prospective students. The link for [First-Year Students](#) takes visitors to a webpage that includes advice for students [before they apply](#). This advice begins:

“College is hard. You’ll be challenged academically, socially, and mentally. Your high school years are your chance to train for the challenges you’ll face when you get to college. As we review your application, we’re looking to see that you’re doing everything you can to get ready for four great years.”

The webpage continues with advice about the academic challenges that students should seek before applying for admission:

“We recommend that students take advantage of the advanced coursework that’s available in their school — for most students, that means taking AP, IB, or dual-enrollment courses. We know that students who have this type of coursework in high school are best prepared to do well in college. We don’t prescribe a certain number or type of these courses — we want you to choose the balance that’s right for you. We hope you’ll challenge yourself academically while also having the time to pursue your interests and life outside the classroom.

“If your school doesn’t offer these types of courses, don’t worry. We encourage you to let us know on your application if your curriculum was limited by forces outside your control, whether from scheduling conflicts or course availability. If your school environment offers a very limited curriculum, look for other ways to challenge yourself, whether that’s through summer programs or enrolling at a local community college.”

“University policy states that all students must meet our minimum course requirements to be eligible for admission. Keep in mind that most successful applicants go well beyond these minimum requirements.”

The admissions office also communicates regularly via social media about the skills that prospective students need to succeed at the University. For example, an infographic posted on the admissions office’s Facebook page, [Climb the Stairs to Success](#), describes steps that prospective students should take to prepare for college. The admissions office publishes similar articles, some of it major-specific, on its [blog](#), which averages 25,000 views per month; these articles inform prospective students of the skills needed to pursue various disciplines and the requirements to fulfill the degrees.

Next Steps

The University will continue to monitor adherence to its credit-hour policies, using the various means described in the University’s response to Federal Requirement 4.9 (Definition of Credit Hours).

COMPREHENSIVE STANDARD 3.13.1

Policy Compliance

The University will continue to review and revise annually the descriptions of its undergraduate programs and general education requirements published in the *Undergraduate Bulletin*.

The Office of Undergraduate Admissions will continue to describe accurately the University's academic opportunities and requirements and the skills and preparation needed to represent both accurately, and in ways that prospective students can readily understand, and through media that they commonly use.

Conclusion

The University complies fully with SACSCOC policies regarding credit hours and advertising, student recruitment, and representation of accredited status, and it acts purposefully and consistently to ensure ongoing compliance with these standards.

The University's credit-hour policies are designed to maintain a challenging curriculum. As documented in the response to Federal Requirement 9 (Definition of Credit Hours), the University is both vigilant and vigorous in the ways in which it monitors adherence to these policies.

The University makes extensive efforts to communicate its admissions policies, academic requirements, and academic expectations to prospective undergraduate students, through both the *Undergraduate Bulletin* and through other media. The admissions office takes affirmative steps to communicate the skills necessary to thrive at Carolina to prospective students through social, electronic, and print media.

References

[Federal Requirement 4.9 Credit Hours](#)

[Credit Hour Policy \(UNC-Chapel Hill\)](#)

[UNC Policy Manual, Section 400.1.6 \(Contact Hours\)](#)

[Fall 2014 Academic Calendar \(UNC-Chapel Hill\)](#)

["Introduction to Economics" \(ECON 101\) Syllabus](#)

["Introduction to Organic Chemistry" \(CHEM 262\)](#)

[Maymester Course: "Comparative Healing Systems" \(ANTH 147\)](#)

["Curriculum Leadership for the School Executive" \(EDUC 730\)](#)

["Pediatric Audiology" \(SPHS 811\)](#)

["Innovation and Design Thinking" \(MBA 754A\)](#)

["Clinical Education I" \(RADI 473\)](#)

["Pain Management" \(ANES 409\)](#)

["Diction 1/Italian" \(MUSC 123\)](#)

["Ensemble II" \(MUSC 212\)](#)

["Intermediate Conducting" \(MUSC 308\)](#)

["Special Topics" \(BUSI 899\)](#)

[Master of Social Work Off-Campus Program Description](#)

[Carolina Courses Online](#)

["Retrieving and Analyzing Information" \(INLS 151\)](#)

[Self-paced Courses](#)

[Undergraduate Bulletin](#)

[Undergraduate Bulletin searchable webpages](#)

[Undergraduate Bulletin downloadable file](#)

[Undergraduate Bulletin electronic archive](#)

[Board of Trustees policy on admissions](#)

[Admissions requirements](#)

[Advisory Committee on Undergraduate Admissions](#)

[Office of Undergraduate Admissions](#)

[General education requirements](#)

[Requirements for degree programs](#)

[Academic Procedures](#)

[Academic Units](#)

[First-Year Students](#)

[Transfer Students](#)

[Part-Time Students](#)

[Readmission](#)

COMPREHENSIVE STANDARD 3.13.1

Policy Compliance

Programs of Study

Admissions and other university policies

Undergraduate Admissions brochure (for high school seniors)

Fact Sheet for prospective first-year students

Undergraduate Admissions Website

Undergraduate Admissions brochure (for admitted students)

Enrollment checklist for First-Year students

Academic Course Load

Office of Academic Advising

Academic Advising Curriculum Tools

Academic Advising Guide

Exploring the Undergraduate Admissions website

Academics (Undergraduate Admissions)

Majors, Minors, and Concentrations

Enrolling at UNC-Chapel Hill

Welcome to Carolina (Newly-Admitted Students)

Welcome to Carolina: A Guide for New International Students

Undergraduate Bulletin Foundations component (General Education curriculum)

Department of Exercise and Sport Science

Applying to UNC-Chapel Hill (Undergraduate Admissions)

Before You Apply webpage (Undergraduate Admissions)

Climb the Stairs to Success (Undergraduate Admission's Facebook page)

Undergraduate Admissions Blog

FEDERAL REQUIREMENTS

4.3 *Publication of Policies*

4.6 *Recruitment Materials*

4.7 *Title IV Program Responsibilities*

4.9 *Credit Hour*

Federal Requirement 4.3 Publication of Policies

SACSCOC Request for Information Related to this Requirement

This standard expects an institution to make available to students and the public current academic calendars, grading policies, and refund policies.

In the November 13, 2014 letter from SACSCOC, the University of North Carolina at Chapel Hill was asked to explain and document the extent of its compliance with this standard by addressing the following specific requests for information:

The institution is requested to provide information regarding its policy for grading. Address safeguards for consistent application across the University, indicate the office(s) that ensure consistency, and how the office carries out its responsibility for consistent application.

Summary

- A university must publish and adhere to its policies on grading in order to be consistent with both federal and SACSCOC standards. This section of the report will describe the reforms, processes, and controls in place to ensure ongoing compliance with the standard.
- The University transitioned to a new electronic grading system that allows for more auditability and monitoring of student grades in order to ensure their integrity.
- The University is confident that the monitoring capabilities and auditing process in place protect the integrity of the student record.
- The University continues to take a proactive approach to employ every means possible to protect the integrity of the academic record and ensure the consistent application of its grading policies.

Actions

The University of North Carolina at Chapel Hill has a well-established model of shared governance that ensures academic policy decisions are considered and approved in an open, public process. The Faculty Council is the recognized authority for establishing academic policy. All meetings of the Faculty Council are public, and the minutes from each meeting are published on the [Office of Faculty Governance website](#).

The University publishes all academic policies in the annual version of the *Undergraduate Bulletin* and the biennial edition of the *Graduate Record*. The printed version of the *Undergraduate Bulletin* is distributed to all administrative offices at the University at least three months prior to the beginning of the academic year. A copy of the *Bulletin* is also provided to all entering undergraduates at the required New Student Orientation. The online version of the [Undergraduate Bulletin](#) is maintained on the University's website, along with [15 years of archived versions](#) of previous editions. The [Graduate Record](#)

is updated every two years and is published electronically.

The Office of the University Registrar is responsible for oversight of policies related to academic procedures, such as scheduling, registration, and grading. The University Registrar maintains and publishes the official list of [University Policy Memorandums \(UPM\)](#). There are currently 28 UPM's, and any changes or additions require approval by the Educational Policy Committee of the Faculty Council. The University Registrar also publishes all policies specifically related to grading on a section of that office's [webpage dedicated exclusively to the grading process](#). The Registrar's policy addresses the submission and approval of grades, the Faculty Handbook provides additional guidance on classroom conduct and the implementation of grading responsibilities.

As reported in UNC-Chapel Hill's March 2013 response to SACSCOC, the campus has transitioned to ConnectCarolina, a new student records system that provides electronic grade rosters for the first time in the University's history. This system allows for far more auditability and monitoring than the previous, paper-based grading process. However, after the discovery of the grade change irregularities in the then-Department of African and Afro-American Studies, the University moved quickly to implement additional safeguards in the submission of grade rosters and grade changes. Custom audit tables were added to the grade roster to allow for more auditability, and, in March 2013, the University unveiled a new electronic grade change process that provided not only auditability and reporting capabilities, but also a secure gateway that allowed only instructors of record or documented deans' designates to access the page. It is important to note that additional measures were implemented as part of the paper grade change process -- specifically a second-level approver for all submitted paper grade changes -- before the University introduced the electronic solution in March 2013. Programmatic enforcement of the grade change policy has proven to be an extremely effective solution to ensuring consistent application of the policy.

As the University continued to review the policies and procedures associated with the grading process, in November 2013 the University Registrar published an [updated policy on grading authority](#), which reads as follows:

"The primary instructor of a class, as a member of the faculty at the University of North Carolina at Chapel Hill, is the sole authority for reporting and/or changing a course grade. In those instances when a faculty member's appointment has been terminated, or a faculty member has resigned or is deceased, the sole authority for approving and/or changing a course grade rests with the chair of the relevant unit (school, department, or curriculum).

"When an established and documented second level of approval is required in a unit's grading process (e.g., the Dean of the School of Law reviews and approves all course grades before they are recorded and posted), then that second level approver (generally a Dean) or the Dean's designate can approve and/or change grades. A Dean's designate must be approved in writing by the Dean of the unit and the University Registrar before being added to an electronic grade roster. Approvals for Dean's Designates will be kept on file in the Office of the University Registrar.

"In all cases, an approved grading Proxy may enter grades for a faculty member or a Dean. However, a grading Proxy cannot approve grades and/or submit grade changes; these two actions (approving

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Publication of Policies

grades and submitting grade changes) can only be accomplished by the primary instructor or the second level approver.”

The updated grading policy was primarily designed to provide official documentation and a process for designating these second-level approvers in programs or schools that had a documented grade process in which the faculty member was not the final authority. For example, the Juris Doctor program in the School of Law has a long-standing grading policy that requires all submitted grades and all grade changes be reviewed and approved by the School’s Associate Dean for Academic Affairs. The School of Law has a clearly defined grade distribution policy for its classes, and enforces this policy via a second-level approver.

As described in detail in the response to [Comprehensive Standard 3.9.2 \(Student Records\)](#), the University Registrar is the academic officer primarily responsible for monitoring and ensuring compliance with grading policies. The University Registrar has implemented a multi-pronged approach to this task that includes data analysis of overall grading patterns and specific scenarios such as the student-athlete enrollment pattern monitoring process. [Self-service reports](#) are also available to all faculty, making the University’s grading patterns as transparent as possible. In addition, the grade change request system has a built-in notification process for any grade changes, and a self-service reporting tool for any approvers (at the chair and dean level) so that any patterns or deviations from patterns can be viewed and analyzed at any time. If any concerns are detected or reported, various reports have been developed to pull data from the delivered and custom-built audit tables associated with the grading pages in the student system. Lastly, if an issue is identified, the University Registrar can trace any and all user access or even attempts to access any sensitive or restricted pages in the student system. The logs from this system can include details as specific as an Internet Protocol (IP) address if that level of information is required.

As confident as the University is in the monitoring capabilities and auditing processes that are in place, the preferred solution is programmatic enforcement of any processes that could risk the integrity of the student record. As such, beginning with the fall 2014 semester, the University implemented the same type of security gateway for the grade roster page that is in place for the grade change process. This modification to a delivered page and a delivered process within the student record system was a significant effort for the University, but the proactive approach to limiting access to any grade processes has proven to be a major success, and only emphasizes the University’s commitment to employ every means possible to protect the integrity of the academic record and to ensure the consistent application of grading policies on a campus-wide basis.

Next Steps

The University has leveraged new technology to significantly improve grade submission and grade changes processes in order to ensure compliance with existing policies and the integrity of the academic record. The University will continue to look for opportunities to build upon the existing, effective enforcement and monitoring efforts that have been introduced since the discovery of the AFAM irregularities in order to further ensure the integrity of the University’s grading policies.

Conclusion

In conclusion, the University has demonstrated significantly improved capabilities to not only monitor and audit but to programmatically enforce grading processes in order to ensure compliance with published policies. The University will continue its proactive approach to employ every means possible to protect the integrity of the academic record and ensure the consistent application of its grading policies.

References

[Faculty Council webpage](#)

[Undergraduate Bulletin](#)

[Undergraduate Bulletin \(back issues, 1997-2013\)](#)

[Graduate Record](#)

[University Policy Memorandums](#)

[Grading Process webpage, Office of the University Registrar](#)

[Policy on Grading Authority \(UNC-Chapel Hill\)](#)

[Reports on Grade Distributions \(via ConnectCarolina\)](#)

Federal Requirement 4.6 Recruitment Materials

SACSCOC Request for Information Related to this Requirement

Recruitment materials and presentations accurately represent the institution's practices and policies.

In the November 13, 2014 letter from SACSCOC, the University of North Carolina at Chapel Hill was asked to explain and document the extent of its compliance with this standard by addressing the following specific requests for information:

The institution is requested to provide all formal and informal, current and past materials that are used by the Athletic Department to recruit student athletes. The information should include, although not be limited to information regarding graduation and future employment, academic and student support services available while enrolled, academic program advising and assistance, and any proposed or sample curriculum.

Summary

SACSCOC standards and Federal requirements state that recruitment materials and presentations accurately reflect the institution's practices and policies. This section will demonstrate the University's compliance with these requirements.

- Recruitment materials used by the athletics department include print and electronic media produced by the Office of Undergraduate Admissions for all prospective undergraduate students; as demonstrated in the response to Comprehensive Standard 3.13.1, these materials represent accurately the University's academic programs and the skills they require.
- Other materials produced by the athletics department and by individual sport programs represent accurately the opportunities, expectations, and requirements of the University.
- The University is committed to providing appropriate assistance and support to students to ensure they will succeed academically at the University and complete their degree requirements.
- The Athletics Department has implemented reforms and new policies and processes, and is implementing its January 2012 strategic plan, to align its operations with the University's mission.
- The Athletics Department sets high goals for its student athletes on and off the field and has tailored its recruitment process to attract talented students who will benefit from the University's academic programs.

Actions

Recruitment of prospective student-athletes to UNC-Chapel Hill is guided by each sport program, governed by NCAA bylaws, and jointly monitored by the Athletics Compliance Office and other Department of Athletics administrators assigned to the sport program.

The Department of Athletics does not maintain an archive of past recruitment materials. For this response, the University collected all current materials and appended them as supporting documents. These materials, produced by the Department of Athletics and other University offices, are used by most sport programs. Additional materials have been developed by individual coaches and members of their support staffs and are used in their recruitment efforts.

All materials and presentations used to recruit prospective student-athletes accurately represent the opportunities, expectations, and requirements of UNC-Chapel Hill. Coaches receive extensive NCAA rules education and training regarding permissible practices. Materials used by the athletics department but produced by other University offices such as the Office of Undergraduate Admissions and the Office of Communications and Public Affairs, are reviewed by those offices at least annually for accuracy.

Most sport programs distribute to prospective student-athletes the [fact sheet for prospective first-year students](#) that the admissions office distributes to prospective students at college fairs and in the admissions office. All student-athletes who are subsequently offered admission to the University receive a copy of the [admit brochure](#) that all admitted students receive. As noted in the University's response to Comprehensive Standard 3.13.1 (Policy Compliance), both of these documents direct students to the [admissions website](#), the primary repository for admissions and enrollment requirements and procedures for all types of prospective undergraduate students. The website provides detailed information about application requirements and admissions procedures for [first-year](#), [transfer](#), [part-time](#), and [readmission](#) students. The website also lists the [programs of study](#) offered by the University, with each program linked to the respective program webpage for more information on requirements for majors and minors. The website also provides links to [admissions and other University policies](#) and various links to the [Undergraduate Bulletin](#).

Other materials used by most sport programs include:

- *"Facts @ Figures,"* a general-purpose fact sheet prepared by the University's Office of Communications and Public Affairs for broad distribution in [September 2014](#), [October 2014](#) and [December 2014](#). The fact sheets tabulate statistical information about UNC-Chapel Hill, including the numbers of undergraduate students, all students, and faculty and staff. The fact sheets describe general academic information, including the number of degree programs, the most recent overall graduation rate, and the University's commitment to access and affordability.
- *"Recent Rankings and Ratings,"* a collection of recent rankings of the University, produced by the athletics department.
- *"What A Weekend On the Hill,"* a one-page description of athletics successes during one weekend this fall, produced by the athletics department.

FEDERAL REQUIREMENT 4.6

Recruitment Materials

In addition to these current documents, the Office of Undergraduate Admissions, in close consultation with the Student-Athlete Academic Initiative Working Group, is developing a new general-purpose publication and website for younger prospective students, including recruited student-athletes. Titled “[Academics and Athletics at the University of North Carolina at Chapel Hill](#),” the printed publication is intended to acquaint younger students with the academic opportunities and challenges they will face at UNC-Chapel Hill. The printed brochure will direct students to a website with detailed information about academic requirements and how students can best prepare to meet them. The printed publication and the companion website will be available by the end of the 2014-2015 academic year.

As noted above, in addition to standard documents used by most sport programs at the University, many programs have developed their own materials and presentations for recruits. These materials are appended to this report as supporting documents. Examples include:

- Men’s basketball currently shares a [reprint of the article](#) about UNC-Chapel Hill from the *Fiske Guide to Colleges 2015* as well as a one-page description of academic excellence within the basketball program and press releases about a basketball player who was named an Academic All-America, and UNC-Chapel Hill’s fifth-place ranking among national public universities.
- Women’s basketball provides [media accounts of the team and individual players as well as inspirational messages](#) that are intended to help recruits strive for excellence and develop strong character.
- Men’s football [distributes documents](#) that include brief descriptions of the athletic and academic successes of current and former football players, a summary of the University’s academic and other rankings, information about the University’s athletics facilities and programs, and inspirational messages. The football program also shares information about new NCAA eligibility requirements going into effect in 2016; fact sheets of its own design that include admissions and other data drawn from University publications and the annual [Best Colleges Rankings](#) produced by U.S. News & World Report; and a [list of all majors, minors, and concentrations](#) offered at the University.

The Academic Support Program for Student Athletes (ASPSA), which reports directly to the Provost, presents information about its services to many prospective student-athletes who are making their NCAA official visits to campus. The [2014 football presentation](#), for example, described the mission, structure, and staff of the program; its collaboration with the athletics department and the College of Arts and Sciences; its individualized support services; and the responsibilities of its academic counselors. The presentation also describes the recent academic performance of enrolled football student-athletes and statistics about UNC-Chapel Hill academics.

In January 2013, the Department of Athletics adopted a strategic plan, [Carolina Leads](#). [See [Comprehensive Standard 3.2.11](#) (Control of Intercollegiate Athletics) for a fuller description.] The plan resulted from a six-month strategic-planning process led by Paul Friga, Director of Consulting Concentrations and Associate Professor of Strategy and Entrepreneurship in the UNC Kenan-Flagler Business School, that involved key stakeholders within and outside the athletics department. The plan

states that the department's mission is to "educate and inspire through athletics." The plan identifies the following core values of athletics:

- Responsibility: Do what is right.
- Innovation: Find a better way.
- Service: Put others first.
- Excellence: Work hard. Play smart. Win together.

The plan also commits the athletics department to four priorities:

- Aligning operations to fulfill the mission of the University,
- Achieving a top three academic finish in the Atlantic Coast Conference and a top 10 finish nationally in each sport,
- Performing to a top three athletic ranking in the Atlantic Coast Conference and a top 10 ranking nationally in each sport, and
- Engaging internal and external constituents to pursue the resources and administrative structures necessary for success.

The plan also identifies 14 key objectives to advance these priorities. Objective Four -- to "improve the academic profile of incoming student-athletes" -- requires that the University's sport programs:

- Track and annually improve the academic profiles of incoming student-athletes,
- Aggressively recruit prospective student-athletes who exemplify and embrace the core values of athletics,
- Develop a compliance culture to serve as a model for responsibility and integrity, and
- Recognize coaches for their recruiting classes that meet high standards for academic profiles.

Coaches' and sport teams' staff aim to attract the most talented students who exemplify the core values articulated in the strategic plan. Coaches carefully consider the athletic abilities and academic preparedness of each prospective student-athlete in recruiting a pool of individuals who they believe can excel in competitive intercollegiate athletics and earn a meaningful degree. [See [Comprehensive Standard 3.4.3](#) (Admissions Policies) for a description of changes involving the admission of student-athletes and results to date.]

A senior associate athletics director is the department's liaison with the Office of Undergraduate Admissions and the ASPSA. This individual collaborates closely with colleagues in admissions and ASPSA as they consider the overall profile of the incoming class of first-year student-athletes from all 28 sport programs and the University's capacity to provide the academic resources to meet each

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Recruitment Materials

student's needs. Those resources include the ASPSA's My Academic Plan (MAP) program, which serves all incoming student-athletes, as well as those who need more intensive academic support, based on academic preparedness, course schedule, and individual need. [See [Comprehensive Standard 3.4.9](#) (Academic Support Services) for additional details about the ASPSA and other academic support resources.]

When prospective student-athletes are admitted and enroll, the University fully expects they will:

- Succeed academically – and wish to succeed academically – while pursuing degrees that are meaningful to them,
- Complete degree requirements stipulated by the University for all students, and
- Accomplish these two goals with appropriate assistance and support from the University.

The Department of Athletics Office of Compliance also supports the strategic goals outlined in "[Carolina Leads](#)" by emphasizing the importance of promoting and demonstrating a compliance culture of responsibility and integrity among student-athletes, coaches, and department staff.

Next Steps

The Office of Undergraduate Admissions, in close consultation with the Student-Athlete Academic Initiative Working Group, will complete and deploy a new general-purpose publication and website for younger prospective students, including recruited student-athletes. These media will acquaint younger students with the academic opportunities and challenges they will face at UNC-Chapel Hill and explain how students can best prepare.

As noted in the University's response to [Comprehensive Standard 3.13.1 \(Policy Compliance\)](#), the Office of Undergraduate Admissions will review at least annually the recruitment media that it publishes for prospective undergraduate students, many of which are used by the athletics department in its recruitment efforts, to ensure their accuracy.

The Department of Athletics Office of Compliance will continue to review recruitment materials produced by the athletics department or by individual sport programs to ensure their accuracy.

Conclusion

As required by federal regulations, and as demonstrated through reviews that occur at least annually, the University's recruitment materials and presentations accurately represent its practices and policies. The same publications that the Office of Undergraduate Admissions produces for all prospective undergraduate students are commonly used by the University's sport programs in their efforts to recruit new students.

References

[Fact sheet for prospective first-year students \(November/December 2014\)](#)

[Admitted Students brochure for First-Years](#)

[Undergraduate Admissions website](#)

[Admissions procedures for first-year students](#)

[Admissions procedures for transfer students](#)

[Admissions procedures for part-time students](#)

[Admissions procedures for readmission](#)

[Programs of study \(Major, Minor, and Concentrations\)](#)

[Admissions and other University policies](#)

[*Undergraduate Bulletin*](#)

[September 2014](#), [October 2014](#) and [December 2014](#) Facts and Figures

[*Recent Rankings and Ratings*](#)

[*What A Weekend On the Hill*](#)

[*Academics and Athletics at the University of North Carolina at Chapel Hill*](#)

[Reprint of the article](#) about UNC-Chapel Hill from the *Fiske Guide to Colleges 2015*

[Media accounts of the team and individual players, as well as inspirational messages](#)

[Distributes documents](#)

[Best Colleges Rankings](#)

[List of all majors, minors, and concentrations](#)

[2014 football presentation](#)

[Carolina Leads](#)

Federal Requirement 4.7 Title IV Program Responsibilities

SACSCOC Request for Information Related to this Requirement

This standard expects an institution to be in compliance with its program responsibilities under Title IV of the most recent Higher Education Act, as amended.

In the November 13, 2014 letter from SACSCOC, the University of North Carolina at Chapel Hill was asked to explain and document the extent of its compliance with this standard by addressing the following specific requests for information:

The institution is requested to provide information regarding its Title IV responsibilities, its policy on Satisfactory Academic Progress, and evidence of how it ensures that valid coursework is being used to assess federal Satisfactory Academic Progress standards. In addition, submit to the Commission any communication from the U.S. Department of Education related to continued compliance with Title IV provisions.

Summary

The University is in compliance with all program responsibilities under Title IV of the Higher Education Act. This section of our report will highlight the actions taken by the University to ensure compliance with federal and accrediting agency standards.

Actions

The University of North Carolina at Chapel Hill has been certified to participate in federal financial aid programs authorized under Title IV of the Higher Education Act (HEA) of 1965, as amended, and believes that it is in compliance with most if not all of its program responsibilities under Title IV of the HEA.

The University is unaware of any pending litigation about its Title IV program administration. At this time, the University has no assessed and outstanding liabilities owed to the U.S. Department of Education based on administration of the Title IV programs. The University is awaiting a final report of a Title IV Program Review conducted by the U.S. Department of Education in August 2014 as well as a final report of a state audit of federal student aid conducted during summer 2014 by the Office of the State Auditor (please see the section titled “Communications” below).

UNC-Chapel Hill submits federal financial aid reports in a timely manner, receives annual allocations of Title IV Campus-Based Aid funds from the U.S. Department of Education, and is audited as required to ensure administrative responsibility and appropriate cash management capabilities. Other than the pending final reports from the Title IV Program review conducted by the U.S. Department of Education, and the review conducted by the Office of the State Auditor, the University has received

no correspondence from the Department of Education, the State Auditor's Office, or any other oversight entity to indicate that the University has committed any deficiencies in administering Title IV programs.

The University is certified to participate in federal student aid programs. The University received a Program Participation Agreement Transmittal Letter, dated May 18, 2011, from the U.S. Department of Education, which confirmed that UNC-Chapel Hill "...meets the minimum requirements of institutional eligibility, administrative capability, and financial responsibility as set forth in 34 CFR Parts 600 and 668." The Program Participation Agreement (PPA) was submitted to the U.S. Department of Education in "execution of this agreement by the Institution and the Secretary [as] a prerequisite to the Institution's initial or continued participation in any Title IV, HEA Program." The University received a [fully executed PPA](#) from the U.S. Department of Education.

The [recertification approval letter](#) from the U.S. Department of Education acknowledged continued eligibility in stating, "The Atlanta Case Management Team is pleased to inform you that, based upon the information included in your Application of Approval to Participate in Federal Student Financial Aid Programs, the Secretary of Education ... has determined that [the] University of North Carolina at Chapel Hill ... satisfies the definition of an eligible institution under the Higher Education Act of 1965, as amended." The UNC-Chapel Hill's current PPA will expire on March 31, 2017, and the University will begin the recertification process in 2016. The University believes it satisfies all audit and review standards for administration of Title IV student aid in accordance with the PPA. Final internal, state, and federal audits issued have shown no non-compliance findings regarding the administration of Title IV aid.

UNC-Chapel Hill is part of the Statewide Single Audit on a 3-year review cycle. The last audit was for [fiscal year 2013](#). The state auditors issued a [report of the statewide federal compliance procedures](#) for the campus.

UNC-Chapel Hill has consistently demonstrated the ability to use federal aid allocations fully, to award funds within the established rules and regulations for each program, and to be accountable for funds expended. The University has submitted all reports required by the U.S. Department of Education, including the [Fiscal Operations Report and Application to Participate \(FISAP\)](#), in a timely manner.

The University has consistently had [low cohort default rates](#) for the Federal Family Education Loan Program and for Direct Loan Program loans. The University's three-year cohort default rate was 0.8% for 2009, 1.6 % for 2010, and 2.3% for 2011.

The national cohort default rates, by comparison, were 13.4% for 2009, 14.7% for 2010, and 13.7% for 2011. The University believes that its default rates have risen in large part due to a 2008 change in federal rules governing calculations, uniformly applied.

In addition to audits, UNC-Chapel Hill participates in the UNC System's Business Compliance Program, an effort to ensure that UNC campuses are in compliance with federal and state regulations regarding all financial matters (payroll, general accounting, contracts and grants, financial aid, and purchasing).

FEDERAL REQUIREMENT 4.7

Title IV Program Responsibilities

UNC-Chapel Hill's Office of Scholarships and Financial Aid was most recently reviewed by the compliance team during a campus visit in April 2014 and found to be in compliance with the federal student aid program regulations examined.

Communications

The University communicates with the U.S. Department of Education on a regular basis. Following is a brief summary of recent communications.

- Correspondence regarding data security breaches. Since 2009, in five separate instances, the U.S. Department of Education has sought assurances from the University that student data are secure after learning of security breaches on campus. The Department sent letters to the Office of Scholarships and Student Aid as well as the Chancellor. As an example, the [October 1, 2009 request](#) from the Department of Education and the [October 9, 2009 response](#) from UNC-Chapel Hill are provided. All of these issues appear to be resolved; no actions are pending.
- Phone conversations (and follow-up emails) related to students enrolled in irregular coursework within the former Department of African and Afro-American Studies (AFAM). The U.S. Department of Education contacted the University in January 2014 to inquire about any disbursements of Title IV student aid to students enrolled in irregular courses in AFAM at any time since July 1, 2010, and to seek more general information about the University's Satisfactory Academic Progress (SAP) policies. The Office of Scholarships and Student Aid [provided the requested information](#) to the department's satisfaction for award years 2010-11, 2011-12, 2012-13, and 2013-14. There has been no follow-up discussion.
- Federal Program Review of Federal Student Aid. The University is currently in the middle of a U.S. Department of Education Federal Program Review of its administration of the Title IV student aid programs. The University has received a notice of preliminary findings to which the campus responded on December 18, 2014. The preliminary report resulted from an August 2014 visit by U.S. Department of Education representatives. As agreed with Dr. Cheryl Cardell by telephone on December 16, 2014, the University will provide SACSCOC with a copy of the Final Program Review Determination (FPRD), which the University expects to receive in February or March 2015.
- State Audit of Federal Student Aid. Similarly, during the summer of 2014, the Office of the State Auditor performed a federal compliance audit (as described in OMB Circular A-133) related to federal student financial assistance. The preliminary results of this review were received by the University on January 7, 2015, and a final report is anticipated in February 2015. As agreed with Dr. Cheryl Cardell by telephone on December 16, 2014, the University will provide SACSCOC with a copy of the final audit.

Policy on Satisfactory Academic Progress

Prior to the current 2014-15 academic year, University-wide standards for Satisfactory Academic

Progress (SAP) determined continued eligibility for Title IV and other financial aid. Many of the monitoring processes for SAP occurred outside the financial aid office (within the College of Arts and Sciences) as shown in the [pre-2014/2015 policy](#).

Since May 2014, the Office of Scholarships and Student Aid has been developing, implementing, and administering a [new Title IV SAP policy](#). This new policy became effective with the 2014-15 academic year, and is fully implemented with the first enforcement action following the spring 2015 semester.

Evidence of How Valid Coursework is Being Used to Assess Federal Satisfactory Academic Progress Standards

The Office of Scholarships and Student Aid relies on academic governance at the University for assurances of quality, and presumes valid coursework is being used to satisfy students' compliance with Federal Satisfactory Academic Progress standards used for Title IV eligibility. More information on policies and practices in place at UNC-Chapel Hill to monitor the integrity of credit hours is provided in the response to [Federal Requirement 4.9 \(Definition of Credit Hours\)](#).

Next Steps

The Office of Scholarships and Student Aid will continue to administer and enforce the new Title IV SAP policy that became effective with the 2014-2015 academic year.

Conclusion

The University is in compliance with its program responsibilities under Title IV of the Higher Education Act. The Office of Scholarships and Student Aid acts consistently and vigorously to maintain its compliance with federal financial-aid regulations and SACSCOC policies.

References

[Program Participation Agreement, Executed June 2011, Federal Student Aid School Eligibility Channel, U.S. Department of Education, Expiration Date March 31, 2017](#)

[Recertification Approval Letter to UNC-Chapel Hill, June 6, 2011, from U. S. Department of Education](#)

[Statewide Single Audit Report for Fiscal Year 2013](#)

[State Auditor's Report of the Statewide Federal Compliance Procedures for UNC-Chapel Hill](#)

[Fiscal Operations Report and Application to Participate \(FISAP\), Application Award Year July 1, 2013 through June 30, 2014](#)

[Request from U.S. Department of Education Regarding Data Security Breach, October 1, 2009](#)

[Response from UNC-Chapel Hill to U.S. Department of Education Regarding Data Security Breach,](#)

FEDERAL REQUIREMENT 4.7

Title IV Program Responsibilities

October 9, 2009

Correspondence with U.S. Department of Education Regarding Students Enrolled in Irregular Coursework within the Department of African and Afro-American Studies (AFAM)

Satisfactory Academic Progress (SAP) Policy Prior to 2014-15

Satisfactory Academic Progress (SAP) Policy Administered by the Office of Scholarships and Student Aid, Effective 2014-15

Federal Requirement 4.9 (Definition of Credit Hours)

Federal Requirement 4.9 Definition of Credit Hours

SACSCOC Request for Information Related to this Requirement

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.

In the November 13, 2014 letter from SACSCOC, the University of North Carolina at Chapel Hill was asked to explain and document the extent of its compliance with this standard by addressing the following specific requests for information:

The institution is requested to provide its policies and procedures for determining the credit hours awarded for courses and programs. How does the institution ensure adherence to its policy?

Summary

Consistent policies and procedures for determining course credit hours are required to provide coherence and structure to an academic program. This section of the report will highlight our efforts to ensure policy compliance with these standards.

- The University's policies and procedures relating to credit hours are consistent with the federal definition of the credit hour and SACSCOC Credit Hours Policy.
- The University's policies and procedures for the review of courses and assignment of credit hours are rigorous and designed to uphold the integrity of the credit hour.
- Consistent with its commitment to continuous improvement, the University has implemented reforms and personnel training to strengthen its ability to monitor the validity and integrity of the credit hours awarded.
- The University has access to valid and reliable data on courses and instructors that allow it to ensure its credit hours policies are being followed.

Actions

This response describes the University of North Carolina at Chapel Hill's established policies 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. To ensure adherence to those policies, the University employs long-standing program and curricular review practices in determining the appropriateness of credit hours assigned to individual courses. In addition, a number of new procedures and controls have been implemented to promote more effective monitoring and to investigate potential irregularities more promptly.

FEDERAL REQUIREMENT 4.9

Credit Hour

Institutional Policies and Procedures for Determining the Credit Hours Awarded for Courses and Programs – UNC-Chapel Hill Credit Hour Policy Statement

In February 2012, the University adopted an institutional policy ([Resolution 2012-1](#)) consistent with the federal definition of the credit hour at the recommendation of the [Educational Policy Committee](#). The policy statement includes language taken directly from the [SACSCOC Credit Hours Policy](#).

This policy codified a comprehensive set of standards for assigning credit hours and formal review processes that had existed at the University for decades. Course credit has been awarded based on the [University of North Carolina system policy](#) requiring a minimum of 750 scheduled minutes of instructional time or the equivalent per credit hour. Instructional time for undergraduate courses includes required final examination periods, as per system policy.

This 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](#). The last further describes the roles of parties responsible for monitoring compliance with the policy.

Standards for Specific Types of Instructional Activities

The following is a description of how UNC-Chapel Hill's credit hour policy is applied to various types of courses and instructional modes.

Lecture and Seminar Courses

The University's [official Academic Calendar](#) document, maintained by the Office of the University Registrar, states that courses will adhere to the Carnegie unit for contact time, which is [750 minutes for each credit hour awarded](#). The standard expectation for all lecture and seminar courses is that students will spend a minimum of two hours outside the classroom for each hour spent in class. The Academic Calendar is published in the *Undergraduate Bulletin* and the website of the Office of the University Registrar.

As an example of the time requirements and credit hours awarded for a traditional lecture course, [HIST 130, "Modern African History"](#) (3 credits), meets twice each week (Tuesday/Thursday) in 75-minute segments. Students have significant reading assignments, are expected to take mid-term and final examinations, and are required to submit one or more research papers, which average at a minimum 6 hours of work each week to prepare outside of classroom hours.

Other lecture courses, particularly large class sections, may be scheduled as a combination of lecture meetings and small-group recitations (such as [POLI 238 "Contemporary Latin American Politics"](#)). Many language courses consist of a combination of lecture meetings and language laboratory sessions.

Laboratory Courses

The overall time expectations for each credit hour awarded for laboratory courses are the same as for lecture and seminar courses; however, 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 530L, “Biochemistry Laboratory”](#) (one credit), meets for a single four-hour block of time each week. 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.

Independent Study and Experiential Courses

As noted in [Comprehensive Standard 3.4.5 \(Academic Policies\)](#), there were limited policies on independent studies prior to 2006 and almost no University-wide processes in place for monitoring enrollments in independent study courses prior to the reforms made in 2012. The current policies and processes for independent study and experiential courses as related to the definition of the credit hour are noted below.

Students enrolled in independent studies, directed research, academic internships, practica or honors thesis courses are subject to similar expectations concerning the overall amount of time necessary to complete their coursework. Although these alternate modes of learning involve less formal contact time with the course instructor, students must meet with the instructor on a regular basis throughout the semester for academic supervision.

Students who register for these courses are expected to be self-motivated and independent learners. Departments have prerequisites for enrollment in these types of classes, such as class level, grade point average, and acceptance to that program or major.

For one-on-one independent studies, internships, and directed research courses, the student and instructor must execute an independent study contract that specifies the work to be produced and the approximate time commitments required for various activities (including the frequency of meetings with the instructor). [University Policy Memorandum 30](#) specifies that students are expected to “devote a minimum of three hours each week for each credit hour of independent study, or at least nine hours per week for a three-credit independent study course. The contract must also specify the requirements related to written work, which should be a minimum of 10 pages of scholarly work for a three credit course. This contract must be approved by the department chair and the dean (or senior associate dean in the College of Arts and Sciences) prior to the beginning of the term. [Samples of these contracts can be viewed here.](#)

Practica or internships required by some majors (e.g., [EDUC 593 “Student Teaching”](#)) and service learning courses (e.g., [APPLES](#)) may involve some combination of traditional class meetings as well as individual out-of-class experiences. The course syllabus must specify the schedule and expectations for contact hours for all major course activities.

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Credit Hour

Alternative Delivery Modes and Formats

The expectation for “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, courses which are a hybrid of face-to-face contact and content delivered via electronic means, courses delivered face-to-face at off-campus sites, and traditional lecture/seminar courses offered on campus. An example of the expectations for class time and out-of-class work can be seen in [SPAN 101 “Hybrid Elementary Spanish I.”](#) Each week, this class involves a 50-minute lecture, a 50-minute small group discussion, five hours of interaction with online materials, and additional hours of out-of-class study. More information on credit hour equivalencies for off-campus courses is provided in the response to [Comprehensive Standard 3.13.1 \(Credit Hours\)](#).

Courses Requiring Effort Beyond Minimum Standards

The above examples reflect the minimum standards that apply more generally to introductory courses. Advanced undergraduate, graduate, and professional level 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 grades for any individual student; thus, students at every level usually find that they must spend additional time to achieve academic excellence.

The Process for Determining Credit Hour Value of Individual Courses

Credit hour value is determined at the time that a new course or a revision to an existing course is proposed. The College of Arts and Sciences and the professional schools approve 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. 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. More information on the course approval process is provided in the University’s response to [Comprehensive Standard 3.4.5, \(Academic Policies\)](#).

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 of Arts & Sciences Criteria Document](#). These criteria include adherence to the class contact hour requirements outlined in the University’s credit hour policy, as well as specific expectations for written assignments (such as a paper of at least 10 pages in length).

Two examples from the College of Arts and Sciences are provided here to illustrate the information when determining the appropriate credit hour value for individual courses: (1) proposal for a [Burch Field Research experience](#), and (2) [Spanish for the Professions](#) study abroad.

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.

Ensuring Adherence to UNC-Chapel Hill's Credit Hour Policy

The University's policies and procedures for the review and approval of new or revised courses and assignment of credit hours are rigorous and thorough. However, over the past three years the University has undertaken a number of reforms to strengthen its ability to monitor the validity and integrity of credit hours awarded to students in existing courses. This section describes actions taken to increase the probability of detecting any future irregularities so they can be addressed quickly, and to 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 delivery mode. 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 and grades awarded.

Course and Credit Hour Reviews as Part of Regular Evaluation Processes

Many of the University's ongoing assessments of institutional effectiveness include reviews of individual courses, required instructional activities, and credit hours awarded.

Curriculum Reviews. Individual courses are typically examined as part of periodic curricular evaluations. For example, General Education curriculum requirements are reviewed on a regular basis by the [Administrative Boards of the College of Arts and Sciences](#) and related committees. University policy requires a thorough examination of credit hours and course expectations during this review. In the [2010-11 review of the general education curriculum](#), implemented in 2006, a representative sample of course syllabi from across the disciplines were reviewed by faculty teams to identify variances in requirements and content coverage. A [copy of the rubric used to evaluate those syllabi can be viewed here](#).

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Program Review. The [Program Review process](#) includes a comprehensive self-study of all aspects of the program by the program's faculty, and an on-site evaluation by a team of University and external faculty peer reviewers. This review includes an assessment of the curriculum and course requirements. Individual courses and credit hour assignments are reviewed to determine the extent to which the curriculum provides students with intended knowledge of the discipline or field. All academic programs with the exception of first professional programs (MD, JD, PharmD, and Law) participate in Program Review which takes place approximately every eight years with a mid-point evaluation to confirm that findings from the last review are being used to improve the program.

Accreditation Reviews. Nearly 40 [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 both didactic and experiential components of 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 Program-Level Student Learning Outcomes. Results from the ongoing assessments of student learning outcomes can provide program faculty with additional information on the value of the credit hours assigned to their courses. Student work products (typically final exams or term papers) from specific courses – or from a sample of senior-level/capstone courses – are assessed to provide evidence as to whether the program's intended learning outcomes are being achieved. These results are then used to make changes in the curriculum or adjustments in individual courses. For example, assessment findings which reveal that seniors in the major are not demonstrating desired skill levels may trigger an examination of the contact hours or content coverage of the lower-level courses in that discipline.

Student Evaluations of Instruction. Student feedback is another source of evidence used to confirm the integrity of the credit hours assigned to courses at UNC-Chapel Hill. Beginning in fall 2012, the University's [Carolina Course Evaluation](#) Instrument included questions concerning the extent to which the course met as scheduled, the amount of time students estimated that they spent on out-of-class work for the course, and how many times students met with the instructor outside of class. In addition to department-level reviews of student responses, these data are analyzed by the Office of Institutional Research and Assessment to identify any classes and/or instructors for which the results raised questions concerning in-class contact hours. To date, only one class has been flagged for further review based on course evaluation results. In this case the dean had already identified and addressed the issue prior to the end of the term.

Monitoring Compliance with University Policies that Support Credit Hour Integrity

Monitoring Faculty Teaching Workload Policies

The University's capability to ensure adherence to its credit hour policy is also supported by the September 2014 adoption of a new institution-wide [faculty workload policy](#) developed in accordance

with the [University of North Carolina Board of Governors' Policy 400.3.4](#). This policy, published on the website of the Office of the Executive Vice Chancellor and Provost, establishes institutional standards for faculty teaching loads, deans' and department chairs' responsibilities for oversight of individual faculty teaching loads, and procedures for monitoring compliance.

While the institutional policy statement is new, it was based on the teaching workload policies that individual schools have had in place for more than a decade. These school-level policies, include their own teaching workload equivalency practices specific to their disciplines and accreditation standards. In addition, each policy describes unit-level procedures for reviewing and approving teaching loads and exceptions, as well as how teaching is factored into the regular faculty performance evaluation process. An example of these school-level institutional workload policies and a description of their implementation are provided for the [Kenan Flagler Business School](#).

The Faculty Workload Policy stipulates that [annual reports](#) from the University of Delaware's Instructional Productivity Study be used as a tool for centrally monitoring teaching workloads by discipline. The Office of Institutional Research and Assessment (OIRA) has participated in this study for a number of years. Counts of lecture/lab/recitation and individual instruction sections are examined by the OIRA to identify anomalies or changes over time in the teaching loads of individual faculty and in department-level summaries. Reports are reviewed by both the Office of the Executive Vice Chancellor and Provost as well as UNC General Administration.

Monitoring Compliance with Syllabus Policy

A critical step in ensuring the integrity of credit hours awarded for UNC-Chapel Hill courses was the fall 2012 adoption by the Faculty Council (and [spring 2013 implementation](#)) of a [University-wide policy](#) requiring that a syllabus be made available to students in every course by the first day of class, with a copy to be retained in the department for at least four years.

- The Syllabus Guidelines clearly communicate University standards and expectations that mitigate the risk of students receiving grades and credit for courses in which an inappropriate amount of work was required and/or performed.
- 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.
- Requiring submission of a syllabus for each course to the chair or dean promotes instructor accountability, and ensures that the time commitments and schedule described to the students are consistent with the number of credits to be awarded.
- Maintaining syllabi in the unit for at least four years provides documentation in the event of disputes over course or grade requirements. It also permits analysis of student work assignments across classes and over time.

Since spring 2013, the Office of the Executive Vice Chancellor and Provost has conducted a syllabus audit to check for compliance with the policy. OIRA sends each dean a list of randomly sampled

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courses from his/her units with a request for copies of the syllabi provided to the students on the first day of class. Each sample represents 8% to 15% of all courses offered in the school depending on the size of the population. For example, in fall 2014, the College of Arts and Sciences was asked to produce 250 syllabi, approximately 8% of 3,125 eligible courses. [A sample from the fall 2014 audit process for the School of Social Work is provided here.](#)

In the two years since implementing these audits, OIRA and school-based staff have discussed how the audits might be made more [efficient and effective](#) by implementing a campus-wide repository to which all faculty would upload their syllabi before the first day of class. The entire repository contents could be audited directly, eliminating the sampling and document submission processes. The University Registrar is currently investigating how the PeopleSoft student information system could be configured to meet this need.

Monitoring Independent Study Policy on Student-Faculty Contract

As described in detail in [Comprehensive Standard 3.4.5](#) (Academic Policies), changes in the University's policies regarding independent study led to the requirement that a student and faculty member must execute an independent study contract specifying the work to be produced and the approximate time commitments required for various activities, including the frequency of meetings with the instructor. The Office of the Executive Vice Chancellor and Provost conducts an audit each semester to check for compliance with the policy. OIRA sends each dean a list of randomly sampled courses from his/her units with a request for copies of the signed contracts.

Improving Data Quality and Access to Monitoring Reports

Analysis of Credit Hours in Relation to Instructional Activity Type

The effectiveness of the University's efforts to ensure adherence to credit hour policies depends to a large extent on having valid and reliable data on courses and instructors. Following the 2011-12 Independent Study Task Force's finding that more than one-third of the courses being reported as "independent study" were actually either lecture or some other type of instructional activity, a campus-wide project was undertaken to revise the Standard Course Numbering System and to renumber courses appropriately. During 2012-13, these revisions were completed ([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.

The access to more reliable and valid data has enabled OIRA to better support the University's efforts to examine courses and instructors in relation to independent studies policies. OIRA provides the senior associate dean for undergraduate education with a custom analysis of courses, instructors, and enrollments by course type. The senior associate dean reviews this information and follows up with chairs to inquire about faculty who appear to be teaching more than two independent study students, lecture classes with extremely small numbers that might be operating as an independent study

arrangement, etc. Two examples of these follow-up inquiries are provided, one for a [humanities course](#) and one for a [science course](#). This process also helps identify misnumbered courses to be corrected for future terms.

Dashboard Reports for School and Department Personnel

In early 2013, the Office of the University Registrar released the Student Records Dashboard Reports system to enable the monitoring of compliance with credit hour policies. Details on the Student Records Dashboard Reports may be viewed in the [response to Comprehensive Standard 3.9.2 \(Student Records\)](#). This system provides an efficient and effective way for departments and deans' offices to look for inconsistencies in course credit hour assignments and class schedules and take action based on current data instead of waiting for summary reports to be distributed later. Department staff can use the dashboards in the following ways to ensure compliance with the University's Credit Hour Policy:

- The ["Class To Be Announced \(TBA\) 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.
- 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 can 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.

The Office of the University Registrar offers training to departmental personnel to encourage use of these reports in monitoring credit hour integrity.

Deans have access to a dashboard that displays school-wide summary statistics on courses and instructors. This tool supports an additional layer of oversight and review at the school level to examine, for example, the number and percentage of instructors teaching more than two independent study courses in a term.

FEDERAL REQUIREMENT 4.9

Credit Hour

Other Strategies for Ensuring Adherence to Credit Hour Policy

Checking Classes to Confirm Compliance with Meeting Schedules

As described in the response to [Comprehensive Standard 3.9.2 \(Student Records\)](#), and elsewhere in this response, improvements made in UNC-Chapel Hill's administrative student information system over the last three years have provided the University with much more consistent and complete information on course meeting locations. As a result, campus officials are better able to verify that lecture and other courses with standard class contact hour requirements are in fact meeting at the scheduled times.

In addition, the Executive Vice Chancellor and Provost implemented a classroom presence audit to provide assurance that lecture, lab, and recitation classes were meeting in their designated locations at the scheduled time. This test was [identified by the Baker Tilly firm](#) as one of several methods that could help validate the academic integrity of these courses originally designed for regular student-instructor interaction.

The College of Arts and Sciences [conducts its classroom audit](#) using a random sample of lecture, lab, and recitation classes (typically 250, or about 8% of the eligible classes) generated by the Office of Institutional Research and Assessment. Classes are checked by employees of the information technology office of the College, who record whether the students and instructors were meeting as expected. The dean's office staff contact the chairs about these apparent missing classes to determine whether the class was moved to another location or if further inquiry is needed with the instructor.

The Provost has encouraged the professional schools to develop audit procedures most appropriate for their instructional modes and schedules. As an example, the School of Law routinely videotapes all of its class meetings, providing evidence of compliance. The School of Public Health selects a statistical sample of classes taught on-site during one week and [takes date- and time-stamped photographs](#) of faculty and students in their classrooms as a record of compliance.

The deans provide the Executive Vice Chancellor and Provost with an informal [report of their class checking procedures and findings](#). To date, no incidences have been identified in which classes were either not found to be meeting at the designated places and times or determined to have a valid reason for not meeting at the time of the class visit.

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.

Next Steps

The University will continue to build upon an already rigorous process to review courses and the assignment of credit hours to uphold the integrity of the credit hour. The monitoring efforts currently in place are effective, but in keeping with its commitment to continuous improvement, the University will continue to strengthen its ability to monitor its courses to ensure compliance with credit hour policies.

Conclusion

In conclusion, the University's policy and procedures are both rigorous and consistent with the federal definition of the credit hour and SACSCOC Credit Hour Policy. The University has access to reliable and valid data on courses and instructors that allow it to ensure that credit hours policies are being followed. Being committed to continuous improvement, however, the University has implemented reforms and personnel training to strengthen its ability to monitor the validity and integrity of credit hours awarded.

References

[Resolution 2012-1 - On Adopting the Federal Definition of the Credit Hour](#)

[Educational Policy Committee](#)

[SACSCOC Credit Hours Policy](#)

[University of North Carolina system policy](#)

[Credit Hours Policy on the Office of the Executive Vice Chancellor and Provost Website](#)

[Credit Hours Policy on the Office of Faculty Governance Website](#)

[Credit Hours Policy on the Office of the University Registrar Website](#)

[University Policy Memorandum #29](#)

[Official Academic Calendar](#)

[Adherence to the Carnegie unit for contact time](#)

[Lecture and Seminar Example Example - HIST 130, "Modern African History"](#)

FEDERAL REQUIREMENT 4.9

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[Laboratory Course Example - CHEM 530L, “Biochemistry Laboratory”](#)

[Lecture and Recitation Example - POLI 238 “Contemporary Latin American Politics”](#)

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

[University Policy Memorandum 30](#)

[Independent Study Contract Examples](#)

[EDUC 593 High School Teaching Internship](#)

[APPLES Service Learning Course Listing](#)

[Expectations for Class Time Example - SPAN 101 “Hybrid Elementary Spanish I](#)

[University’s General Education requirements](#)

[Criteria for General Education Requirements](#)

[Determining Credit Hour Value: Burch Field Research experience](#)

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[Requirements for professionally-designated graduate programs](#)

[Report from the Meeting of the Curriculum Committee, Tuesday, October 28, 2014](#)

[Administrative Boards of the College of Arts and Sciences](#)

[2010-11 Review of the General Education Curriculum](#)

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[The Graduate School - Program Review process](#)

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[Workload Policy Example - Kenan-Flagler Business School](#)

[University of Delaware Instructional Productivity Study Report](#)

[Sample - Fall 2014 Syllabus Audit for the School of Social Work](#)

[Improving Monitoring Processes](#)

[University Policy Memorandum #4](#)

[Clarification request: science course](#)

[Clarification request: humanities course](#)

[Class To Be Announced \(TBA\) Report](#)

[Class Meeting](#)

[Course Instructor](#)

[Term Enrollment](#)

[Baker Tilly Academic Policies and Procedures Report](#)

[College of Arts & Sciences Classroom Audit](#)

[School of Public Health Classroom Audit](#)

[The School of Social Work Report \(Class Checking Procedures and Findings\)](#)

[University Registrar Training](#)

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