

**FIRST MONITORING REPORT:
RESPONSE TO THE SOUTHERN
ASSOCIATION OF COLLEGES
AND SCHOOLS COMMISSION ON
COLLEGES (SACSCOC) LETTER OF
JULY 1, 2015**

Submitted March 11, 2016

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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INTRODUCTION



July 1, 2015

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

Dear Dr. Folt:

The following action regarding your institution was taken by the Board of Trustees of the Southern Association of Colleges and Schools Commission on Colleges (SACSCOC) during its meeting held on June 11, 2015:

The SACSCOC Board of Trustees reviewed the institution's response to SACSCOC's request for documentation supporting continued compliance with select standards of the *Principles of Accreditation* cited following the review of the Cadwalader-Wainstein Report that was provided by UNC-Chapel Hill. The Board placed the institution on Probation for 12 months for failure to comply with Principle 1.1 (Integrity), Core Requirement 2.7.2 (Program content), Comprehensive Standard 3.2.11 (Control of intercollegiate athletics), Comprehensive Standard 3.4.9 (Academic support services), Comprehensive Standard 3.7.4 (Academic freedom), Comprehensive Standard 3.7.5 (Faculty role in governance), and Federal Requirement 4.7 (Title IV program responsibilities) of the *Principles of Accreditation*. The Board authorized a Special Committee to visit the institution and requested that the institution submit a First Monitoring Report due four weeks in advance of the Special Committee visit but **no later than April 1, 2016**, addressing the referenced standards of the *Principles of Accreditation* listed below. For all standards cited, the institution is required to provide evidence of the effectiveness of new initiatives.

PR 1.1 (Integrity)

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

New information provided by the institution through the private investigative review has led the institution to establish an Integrity Working Group and to review the Department of African, African American and Diaspora Studies (AAAD) and the Department of Athletics. Although the report outlined plans to ensure integrity in the operations of the two departments, the institution has not yet provided sufficient evidence of the impact of these new initiatives for correcting the issues related to integrity and compliance. The institution must show evidence of the specific outcomes of the Integrity Working Group and the reviews of AAAD and Athletics as they relate toward strengthening institutional and programmatic integrity.



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 July 1, 2015
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CR 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.

Although the University provided detailed information on completed reviews and changes in the Department of African, African American and Diaspora Studies, the institution must provide evidence that these changes are codified and demonstrate consistent and comparable application of reviews across the institution.

CS 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, its intercollegiate athletics program.

While the institution has made significant progress, there is insufficient evidence to validate the effectiveness of the newly-implemented Student-Athlete Academic Initiative Working Group that reports to the Chancellor. The institution should provide evidence that gives examples of the new initiatives originating with the Student-Athlete Academic Initiative Working Group and measures of their success.

CS 3.4.9 (Academic support services)

This standard expects an institution to provide appropriate academic support services.

The institution has provided evidence of a number of new initiatives associated with the Academic Support Program for Student Athletes (ASPSA), but the evidence is insufficient to determine compliance. The institution must provide additional documentation as to the effectiveness of the operationalization of the initiatives associated with this new structure as it relates to ASPSA.

CS 3.7.4 (Academic freedom)

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

The institution notes that it adheres to University of North Carolina System, University of North Carolina Board of Trustees, and other policies regarding academic freedom. The University indicates that it reviewed and revised its Faculty Handbook in 2015. The institution's response did not directly address any changes to academic freedom in the Handbook; rather, the response indicates that it did not find anything inherent about those policies that would preclude faculty accountability for academic barriers and integrity issues. However, irregularities did take place under the auspices of the current academic freedom section of the Faculty Handbook. Therefore, the institution's response did not provide any new information other than the establishment of the working group that would ensure communication avenues to prevent academic irregularities from occurring. The institution must demonstrate that the



Dr. Carol L. Folt
 July 1, 2015
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initiatives of the working group are adopted and the implementation provides assurances to prevent future academic irregularities.

CS 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.

The institution must provide evidence of the effective operation of the final committee structure and charge of the Faculty Athletic Committee (FAC), as approved by the Faculty Council.

FR 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 University must provide evidence of the effectiveness of its new Title IV Satisfactory Academic Progress (SAP) process put in place for the 2014-2015 academic year.

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

Because your institution has been placed on Probation, the Commission calls to your attention the enclosed policy "Sanctions, Denial of Reaffirmation, and Removal from Membership."

Federal regulations and SACSCOC policy stipulate that an institution must demonstrate compliance with all standards and requirements of the *Principles of Accreditation* within two years following the Board of Trustees' initial action on the institution. At the end of that two-year period, if the institution does not comply with all the standards and requirements in the *Principles*, representatives from the institution will be required to appear for a meeting on the record before SACSCOC Board of Trustees, or one of its standing committees, to answer questions as to why the institution should not be removed from membership.

Please note that an institution's accreditation cannot be extended if it has been on Probation for two successive years. If the institution is not in compliance at the end of two years on Probation, removal from membership is mandatory. In addition, if the institution does not make substantial progress in its compliance with all standards and requirements in the *Principles within the two-year period of monitoring while on Probation*, removal from membership is a Board option. *The institution bears the burden of proof to provide evidence why the Commission should not remove it from membership.*



Dr. Carol L. Folt
July 1, 2015
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In accordance with SACSCOC policy, and as noted earlier, a Special Committee has been authorized to visit your institution to review evidence of compliance with the specific standards of the *Principles* cited in this notification letter. The Special Committee may extend its initial focus if any evidence of additional accreditation-related concerns comes to its attention. Dr. Cheryl Cardell, your Commission staff member, will contact you to discuss arrangements for this Special Committee review.

If you have any questions regarding this letter or the process, please contact Dr. Cardell.

Sincerely,

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

Belle S. Wheelan, Ph.D.
President

BSW:ktf

Enclosures

cc: Mr. Wade Hampton Hargrove, Chair, Board of Trustees
Dr. Cheryl D. Cardell, Vice President, SACSCOC



Southern Association of Colleges and Schools
 Commission on Colleges
 1866 Southern Lane
 Decatur, Georgia 30033-4097

REPORTS SUBMITTED FOR SACSCOC REVIEW

- Policy Statement -

Institutions accredited by the Commission on Colleges are requested to submit various reports to an evaluation committee or to the Commission's Board of Trustees for review. Those reports include:

Response Report to the Visiting Committee
 Monitoring Report or Referral Report

When submitting a report, an institution should follow the directions below, keeping in mind that the report will be reviewed by a number of readers, most of whom will be unfamiliar with the institution.

Information Pertaining to the Preparation of All Reports

Preparation of a Title Page

For any report requested, an institution should prepare a title page that includes the following:

1. Name of the institution
2. Address of the institution
3. Dates of the committee visit (*not applicable for the Referral Report*)
4. The kind of report submitted
5. Name, title, and contact numbers of person(s) preparing the report

Presentation of Reports

For any report requested, an institution should

1. ***For print copies***, copy all documents front and back, double-space the copy, and use no less than an 11 point font. If the report requires binding beyond stapling, do not submit the report in a three-ring binder. Ring binders are bulky and must be removed before mailing to the readers.
2. ***For electronic copies, please comply with all steps outlined below:***
 - (1) Copy the report and all attachments onto the appropriate number of flash drives, in accordance with the number of requested copies of the report. Each flash drive should be labeled with the name of the institution and the title of the report.
 - (2) Each flash drive should be submitted in a separate paper or plastic envelope not smaller than 4 x 4 inches and each envelope should be labeled with the name of the institution, the title of the report, and the list of document contents.
 - (3) Provide the name, title, email address, and phone number of the person who can be contacted if the readers have problems accessing the information.

- (4) Provide *one print copy* of the response without the attachments.
3. Provide a clear, complete, and concise report. If documentation is required, ensure that it is appropriate to demonstrating fulfillment of the requirement. Specify actions that have been taken and document their completion. Avoid vague responses indicating that the institution *plans to address* a problem in the future. If any actions remain to be accomplished, the institution should present an action plan, a schedule for accomplishing the plan, and evidence of commitment of resources for accomplishing the plan.
4. When possible, excerpt passages from text and incorporate the narrative into the report. Provide definitive evidence, not documents that only address the process (e.g., do not include copies of letters or memos with directives).
5. When possible and appropriate, provide samples of evidence of compliance rather than all documents pertaining to all activities associated with compliance.
6. Reread the report before submission and eliminate all narrative that is not relevant to the focus of the report. If sending electronic copies, ensure that all devices are virus free and have been reviewed for easy access by reviewers external to your institution.

Information Specific for the Response to the Visiting Committee Report

- Definition:** A Response Report addresses the findings of a visiting committee. It provides updated or additional documentation regarding the institution's compliance with the *Principles of Accreditation*.
- Audience:** The Response Report, along with the Committee Report and other documents, is reviewed by SACSCOC Board of Trustees and is subject to the review procedures of the Commission's standing committees, including the continuation of a monitoring period, the imposition of a sanction, or a change of accreditation status.
- Report Presentation:** Structure the response so that it addresses committee recommendations in the order that they appear in the report. Tabs should separate each response to a recommendation.
- For each recommendation, provide the number of the Core Requirement, Comprehensive Standard, or Federal Requirement and state the recommendation exactly as it appears in the visiting committee report. Describe the committee's concerns that led to the recommendation by either summarizing the concerns or inserting verbatim the complete narrative in the report pertaining to the recommendation. Provide a response with documentation.
- Due Date:** The Response Report is due on the day indicated in the transmittal letter from Commission staff accompanying the visiting committee report.
- Number of Copies:** See the transmittal letter from Commission staff accompanying the visiting committee report.

Information Specific to the Preparation of a Monitoring Report or a Referral Report

- Definition:** These reports address recommendations and continued concerns of compliance usually identified by the Committee on Compliance and Reports (C & R) or by the Executive Council (or, for a Referral Report, identified by the Committee on Fifth-Year Interim Reports) and referred to the SACSCOC Board of Trustees. It follows the C & R Committee's review of an institution's response to a visiting committee report.

the termination of accreditation. However, if an institution has filed bankruptcy, the Board may not act to revoke accreditation for failure to pay membership fees and dues during the pendency of bankruptcy.

In accord with 34 CFR Section 602.24 of the Federal Code, notification of SACSCOC Board of Trustees action to withdraw or terminate membership will be accompanied by a request that the institution submit a teach-out plan to the Commission for approval. (See Commission policy "Substantive Change for SACSCOC Accredited Institutions" for the specific procedures.) This is applicable if (1) the institution fails to appeal the decision of the Commission's Board of Trustees or (2) the institution appeals the Board's decision and the Appeals Committee rules in favor of the Board.

Procedures for Applying Sanctions and for Terminating Membership

Recommendations for Warning, Probation, and removal of membership are made by one of the Committees on Compliance and Reports to the Executive Council of the Commission. The Council forwards recommendations on Warning, Probation, and removal from membership to the SACSCOC Board of Trustees, which takes final action subject to any rights of appeal which the institution might have as described in Commission policies. Action placing an institution on Warning or Probation is not appealable.

In the cases of Warning, Probation, or loss of membership, both the chief executive officer and the chair of the institution's governing board will be informed in writing. (For public institutions that are part of a state system, the chief executive officer of the system will also receive a copy of the notification sent to the institution.) The Commission will include in its notification to the institution reasons for the imposition of sanction or for loss of membership.

An action to place an institution on Warning or Probation, to deny reaffirmation, or to remove an institution from membership, along with the reasons for the action, will be read during the annual meeting of the College Delegate Assembly, posted on the SACSCOC website, and recorded in the *Annual Reports of SACSCOC*. Actions which are appealable will be accompanied by a statement that Commission action will not take effect until the time period for filing an appeal has expired or until final action has been taken on the appeal. The Commission policy on disclosure is also applicable to these actions.

Definition and Conditions for Good Cause

If an institution has not remedied deficiencies at the conclusion of its two-year maximum monitoring period, the SACSCOC Board of Trustees must (1) remove the institution from membership, or (2) continue accreditation for "good cause". If accreditation is extended for "good cause," the institution must also be placed on or continued on Probation.

An institution's accreditation can be extended for "good cause" if

1. the institution has demonstrated significant recent accomplishments in addressing non-compliance (e.g., the institution's cumulative operating deficit has been reduced significantly and its enrollment has increased significantly), and
2. the institution has documented that it has the "potential" to remedy all deficiencies within the extended period as defined by the Committee on Compliance and Reports; that is, that the institution provides evidence which makes it reasonable for the Commission to assume it will remedy all deficiencies within the extended time defined by the Committee on Compliance and Reports, and
3. the institution provides assurance to the Commission that it is not aware of any other reasons, other than those identified by the SACSCOC Board of Trustees, why the institution could not be continued for "good cause."

The SACSCOC Board of Trustees may extend accreditation for "good cause" for a maximum of one year. At the conclusion of the period, the institution must appear before the Board of Trustees at a meeting on the record to provide evidence of good cause as to why its period for remedying deficiencies should be extended again for good cause. If an institution was on Probation both years of its two-year monitoring period following initial action

INTRODUCTION

on deficiencies, the institution is not eligible for good cause consideration because an institution cannot be on Probation for more than two consecutive years. Since continued accreditation for good cause imposes the sanction of Probation and a third year on Probation is against Commission policy, the institution is ineligible for consideration of good cause. (See above under "Probation.")

In all cases, the institution bears the burden of proof to provide evidence why the Commission should not remove it from membership.

Document History

Approved: Commission on Colleges, June 2003
Revised for the Principles of Accreditation, December 2003
Revised: SACSCOC Board of Trustees, July 2005, June 2011,
December 2012, December 2013
Reformatted: April 2015



Southern Association of Colleges and Schools
 Commission on Colleges
 1866 Southern Lane
 Decatur, Georgia 30033-4097

SANCTIONS, DENIAL OF REAFFIRMATION, AND REMOVAL FROM MEMBERSHIP

Policy Statement

The Southern Association of Colleges and Schools Commission on Colleges (SACSCOC) requires that a member institution be in compliance with the *Principles of Accreditation: Foundations for Quality Enhancement* and its Core Requirements, comply with Commission policies and procedures, and provide information requested by the Commission's Board of Trustees in order to maintain membership and accreditation. When an institution fails to comply with these requirements within a maximum two-year monitoring period, the Commission may impose sanctions. Monitoring reports submitted during this period are not sanctions.

If the Commission determines that an institution's progress is insufficient during the two-year monitoring period but not significant enough to impose a sanction, the Commission will advise the institution that if progress or compliance is insufficient at the time of its next formal review by the SACSCOC Board of Trustees, the institution could be placed on sanction or removed from membership. (Institutions applying for membership with SACSCOC should refer to the Commission policy "Accreditation Procedures for Applicant Institutions" for procedures concerning the denial or removal of candidacy, or the denial of initial membership.)

Failure to make adequate progress toward compliance at any time during the two-year period or failure to comply with the *Principles* at the conclusion of two years may result in Commission action to remove accreditation.

The Commission's requirements, policies, processes, procedures and decisions are predicated on integrity. SACSCOC expects integrity to govern the operation of institutions. Therefore, evidence of withholding information, providing inaccurate information to the public, or failing to provide timely information to the Commission may be construed as an indication of the lack of a full commitment to integrity and may result in the imposition of sanctions or removal of accreditation.

Sanctions

An institution found to be out of compliance with the *Principles of Accreditation* must correct the deficiencies or face the possibility of being placed on one of two sanctions: Warning or Probation, in order of degree of seriousness. These sanctions are not necessarily sequential, and the Commission may place an institution on either sanction with or without reviewing a visiting committee's report and with or without having previously requested a monitoring report, depending on the seriousness and extent of noncompliance. In certain circumstances, an institution may be removed from membership without having previously been placed on sanction.

During the two-year monitoring period, institutions may be placed on a sanction for six or twelve months, with a monitoring report required at the end of the period of the sanction. Institutional accreditation cannot be reaffirmed while the institution is on sanction. Denial of reaffirmation of accreditation and invocation of sanctions are not appealable actions. Actions invoking sanctions are publicly announced at the annual meeting of the College Delegate Assembly, posted on the SACSCOC website, and published in the *Annual Reports of SACSCOC*.

The characteristics of these sanctions include the following:

Warning – The less serious of the two sanctions, Warning is usually, but not necessarily, levied in the earlier stages of institutional review and often, but not necessarily, precedes Probation. It cannot, however, succeed Probation. An institution may be placed on Warning or Probation for noncompliance with any of the Core Requirements or significant noncompliance with the Comprehensive Standards. Additionally, an institution may be placed on Warning for failure to make timely and significant progress toward correcting the deficiencies that led to the finding of noncompliance with any of the *Principles of Accreditation*. An institution may also be placed on Warning for failure to comply with Commission policies and procedures, including failure to provide requested information in a timely manner. The maximum total time during one monitoring period that an institution may be on Warning is two years.

Probation – Failure to correct deficiencies or failure to make satisfactory progress toward compliance with the *Principles of Accreditation*, whether or not the institution is already on Warning, may result in the institution being placed on Probation. An institution may be placed on Probation for the same reasons as discussed above regarding Warning if the Commission's Board of Trustees deems noncompliance with the Principles to be serious enough to merit invoking Probation whether or not the institution is or has been on Warning. Probation is a more serious sanction than Warning and is usually, but not necessarily, invoked as the last step before an institution is removed from membership. Probation may be imposed upon initial institutional review, depending on the judgment of the Board regarding the seriousness of noncompliance or in the case of repeated violations recognized by the Board over a period of time. An institution must be placed on Probation when it is continued in membership for Good Cause beyond the maximum two-year monitoring period (see section on "Good Cause" below). The maximum consecutive time that an institution may be on Probation is two years.

Denial of Reaffirmation of Accreditation with the imposition of a Sanction

If an institution is judged by the SACSCOC Board of Trustees to be out of compliance with a Core Requirement, it will be placed on a sanction. For an institution seeking reaffirmation of accreditation, its reaffirmation will be denied, and it will be placed on a sanction. If an institution is judged to be significantly out of compliance with one or more of the Comprehensive Standards, its reaffirmation of accreditation may be denied. The action of denying reaffirmation of accreditation will be accompanied by the imposition of a sanction. The institution's accreditation will not be reaffirmed while it is on Warning or Probation, but its accreditation will be continued. Denial of reaffirmation does not affect the decennial review schedule.

Removal from Membership

An institution may be removed from SACSCOC membership at any time, depending on the Board of Trustees' judgment of the seriousness of noncompliance with the *Principles of Accreditation* or with the Commission's policies and procedures. Removal from membership, however, usually occurs after persistent or significant noncompliance during a monitoring period or any time an institution is being followed for Good Cause. A serious instance of noncompliance or repeated instances of noncompliance may result in removal of membership without a monitoring period. If an institution has filed bankruptcy, the SACSCOC Board of Trustees may revoke the institution's accreditation for failure to comply with the *Principles of Accreditation* during the pendency of the bankruptcy.

An institution must be removed from membership if it has not demonstrated compliance with all the Principles of Accreditation within the two-year monitoring period and has not demonstrated Good Cause as to why it should not be dropped from membership. If an institution is continued in membership for Good Cause beyond the two-year monitoring period (and then only on Probation), it may be removed from membership at any time but must be removed from membership if it does not demonstrate compliance within the two years beyond the end of the two-year monitoring period (see "Good Cause" below).

When an institution fails to pay its dues by the designated deadline, the Commission will assume from this action that the institution no longer wants to maintain its membership or candidacy with SACSCOC. By that action, the institution withdraws from membership or candidacy. The SACSCOC Board of Trustees will take official action on

Audience: The Monitoring Report and the Referral Report are reviewed by SACSCOC Board of Trustees and are subject to the review procedures of the Commission's standing committees, including the continuation of a monitoring period, the imposition of a sanction, or a change of accreditation status.

Report Presentation: For a Monitoring Report, structure the response so that it addresses committee recommendations in the order that they appeared in the report. Tabs should separate each response to a recommendation.

For each recommendation, (1) restate the number of the Core Requirement, Comprehensive Standard, or Federal Requirement, the number of the recommendation, and the recommendation exactly as it appeared in the visiting committee report; (2) provide a brief history of responses to the recommendation if more than a first response (to include an accurate summary of the original concerns of the visiting committee, a summary of each previous institutional response and an explanation of what had been requested by the Commission); (3) cite verbatim the current request of the Commission that is related to the recommendation (reference notification letter from the President of the Commission); and (4) prepare a response to the recommendation.

For a Referral Report, structure the response so that it addresses the concerns described in the letter from SACSCOC President in the order that they appeared. Tabs should separate each response to each standard cited.

For each standard cited, (1) restate the number of the Core Requirement, Comprehensive Standard, or Federal Requirement exactly as it appeared in the letter; (2) cite verbatim the current request of the Commission that is related to the standard cited (reference notification letter from the President of SACSCOC); and (3) prepare a response to the recommendation.

Due Date: The Monitoring Report and the Referral Report are due on the date specified in the notification letter sent by SACSCOC President. Requests for extensions to the date must be made to the President at least two weeks in advance of the original due date. (See *Commission policy "Deadlines for Submitting Reports."*)

Number of Copies: See the letter from the President of SACSCOC requesting the Report.

Document History

Edited and Revised for the Principles of Accreditation: December 2003

Updated: January 2007, January 2010, May 2010, January 2012

Edited: June 2015

Introduction and Executive Summary

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 July 1, 2015 requesting information relating to the effectiveness of particular initiatives the University has implemented in recent years.

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 nearly 300 degree and certificate programs through over a dozen 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. In 2015, Kiplinger's Personal Finance ranked Carolina as the "Best Value" in U.S. public higher education for the 15th time in a row. Our 83.9% undergraduate [four-year graduation rate](#) (2011 cohort) is among the highest in the nation for public institutions.

UNC-Chapel Hill also ranks among the world's leading [research universities](#). Across the University, Carolina's faculty, staff, and students shape their teaching, research, and public service to meet today's greatest challenges and needs, and our 300,800 alumni live and contribute to their communities across North Carolina and in all 50 states and 150 countries. A member of the Association of American Universities, the University in 2015 climbed to eighth nationally among private and public research institutions in overall research and development (R&D) expenditures and sixth nationally in federal R&D spending. In 2014, Carolina expended just shy of \$1 billion on R&D activity and 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 2015, Dr. Aziz Sançar, the Sarah Graham Kenan Professor of Biochemistry and Biophysics in the UNC School of Medicine, won the Nobel Prize in Chemistry for his work on mapping the cellular mechanisms that underlie DNA repair.

Beyond our regional accreditation by SACSCOC, many of the University's academic programs and schools are separately and independently accredited. The size and complexity of the University—offering 78 bachelor's, 112 master's, 68 doctorate and seven professional degree programs through 14 schools and the College of Arts and Sciences—requires the investment of significant, dedicated resources to ensuring full compliance with all accreditation standards. Currently 37 [professional agencies and organizations](#) accredit programs at UNC-Chapel Hill, each of which require compliance with a rigorous set of standards focusing on program content and governance, degree requirements, and all matters of academic integrity, with the results being subject to peer review and regular reporting. Throughout its history, the University has taken great pride in maintaining accreditation across its many programs and schools. The University,

therefore, takes the present matter very seriously.

Background of this Report

This report marks the third major report to SACSCOC and reflects the culmination of the University's efforts to respond to the Commission's remaining seven information requests and to demonstrate full compliance with the Commission's *Principles of Accreditation*.

The University's discovery in 2011 of academic failings within the former Department of African and Afro-American Studies (AFAM) touched off expansive and regular communications between Carolina and SACSCOC. Over the course of [two major reports and numerous other submissions](#) and discussions with SACSCOC personnel, the University has worked very hard to keep the Commission fully and timely informed regarding not only the nature and scope of the past irregularities—which ended five years ago—but also of the extensive reforms and initiatives Carolina has since designed, implemented, and assessed and demonstrated the effectiveness of as part of committing substantial resources to preventing a recurrence of the past shortcomings.

In July 2014, and following a visit of the Commission's Special Committee to Chapel Hill in 2013, [SACSCOC informed the University](#) that the Commission's Board of Trustees had concluded that Carolina had satisfied prior information requests—a step the University interpreted as the Commission's satisfaction with Carolina's extensive reforms and initiatives.

The University's most recent major submission to SACSCOC came in January 2015, when Carolina provided the Commission with a [detailed 200-page report](#) demonstrating compliance with the Commission's *Principles of Accreditation* and again canvassing the extraordinary reforms and initiatives undertaken in recent years and, more recently, proven to be operating effectively. The University's report also responded to eighteen specific requests for information following the Commission's review of the findings of the independent investigation initiated by the University and conducted by Kenneth Wainstein of Cadwalader, Wickersham & Taft LLP.

On June 11, 2015, SACSCOC informed the University that our accreditation was being maintained but that a one-year period of probation was being imposed for the specific and limited purpose of allowing Carolina to demonstrate the effectiveness of specific new initiatives that the University had proactively implemented since 2014. The Commission itemized its remaining information requests in a [letter dated July 1, 2015](#). Carolina welcomed the Commission's decision to maintain the University's accreditation and committed to using the one-year period of probation to collect evidence establishing the effectiveness of the specific initiatives identified by SACSCOC. This report constitutes the University's response.

Against the backdrop of Carolina's robust dialogue with the Commission over many years regarding the University's comprehensive responses to the past irregularities, this report also reflects the culmination of the University's extraordinary efforts since 2011 to put the shortcomings of the past fully behind

Carolina. The University has set the bar high and is unwavering in its commitment to acting with integrity in every academic and extracurricular program and in the implementation of all policies, procedures, and the many reforms and initiatives instituted in recent years. The University is confident that it has fully satisfied each of the Commission's information requests and by extension the *Principles of Accreditation*.

The University appreciates the opportunity provided by the upcoming April 2016 visit of the Commission's Special Committee to Chapel Hill. The meetings will allow the University to provide invaluable context to the information in this report and in our January 2015 report, to answer any remaining questions the Special Committee may have about the effectiveness of particular initiatives instituted since 2014, and otherwise to demonstrate further Carolina's compliance with the *Principles of Accreditation*.

The University is confident the Commission will reach this same conclusion based upon a fair process focused on the facts and evidence and by holding Carolina to the standards expected of all institutions.

The Past Academic Improprieties

The academic improprieties in the University's former AFAM Department are well documented and known to the Commission. The concerns first surfaced in 2011 and became fully known over the course of a series of internal and external reviews commissioned by the University and conducted over approximately four years, concluding with the independent investigation of Kenneth Wainstein in 2014. The University commissioned the Wainstein investigation allow Carolina to understand once and for all the origin of the past academic irregularities and to confirm that those shortcomings were strictly limited to the former AFAM Department. Learning this information became possible because the two individuals uniquely positioned to provide it, Julius Nyang'oro, Chair of the former AFAM Department from 1992 until his retirement from the University in 2012, and Deborah Crowder, AFAM Department Manager for nearly 30 years until her retirement in September 2009, first became available for interviews through assistance provided by Orange County District Attorney James Woodall in December 2013. Prior to that time, these individuals were unavailable due to a pending criminal investigation.

By the time Wainstein began his investigation in 2014, the University had implemented at least 70 reforms and initiatives to remediate the past irregularities and was well along in confirming the effectiveness of those reforms. The University's new leadership team also had begun several initiatives to further strengthen the University's operations, programs, and oversight mechanisms. These activities reflected the University's commitment to exceeding standards, including the Commission's *Principles of Accreditation*, and to reaching new levels of operational excellence.

[Wainstein's report](#), *Investigation of Irregular Classes in the Department of African and Afro-American Studies at the University of North Carolina at Chapel Hill*, confirmed prior findings by former North Carolina Governor James Martin that the instructional irregularities were limited to a single department, the former AFAM Department, and principally conducted by two individuals, the longstanding former Chair of the AFAM

Department, Julius Nyang'oro, and the former Department Manager, Deborah Crowder. Wainstein's report also took care to emphasize that there was no evidence suggesting that any aspect of the irregularities extended beyond 2011—a fact the University and other studies have confirmed.

The University has accepted full responsibility for the past irregularities, repeatedly apologized to the impacted students and the entire Carolina community, and in 2015 completed a very substantial and carefully conducted personnel review to hold individuals appropriately accountable for misconduct in connection with the past failings. Time and again the University also has stated that there was no excusing or justifying the past improprieties: they were serious and antithetical to Carolina's distinguished history and indeed everything the University represents.

What is doubly clear and very well documented is that the irregularities had stopped in 2011, and since that time the University has invested substantially and worked tirelessly to implement expansive reforms and proactive initiatives, hold itself the highest standards of integrity in every dimension of our operations, and ensure full confidence in Carolina's bright future. The lynchpin to rebuilding trust is earning it, and on this score the University appreciates the Commission's request to demonstrate the effectiveness of specific initiatives proactively instituted in the past few years by Carolina's new leadership team. Understanding the effectiveness of those initiatives benefits from knowledge of the broader context of the University's responses to learning of those past shortcomings.

The University's Comprehensive Responses and Initiatives

Instituting New Senior Leadership

The University's many responses to the past academic improprieties continued and was furthered by the installation of a [new senior leadership team](#). The transition began in the summer of 2013 with the arrival of Dr. Carol L. Folt as the University's 11th Chancellor and her selection of a new Executive Vice Chancellor and Provost. In the ensuing months, Folt also hired a new Vice Chancellor of Development, Vice Chancellor of Communications and Public Affairs, Vice Chancellor of Workforce Strategy, Equity, and Engagement, Vice Chancellor and Chief Financial Officer, and Chief of Staff. More recently, Folt has hired a new Dean of the College of Arts and Sciences, named an Interim Chief Integrity and Policy Officer, and commenced a search for a new General Counsel.

The new leadership team focused on ensuring that the University had gotten to the bottom of the past academic improprieties, including by commissioning the independent investigation by Kenneth Wainstein to learn for certain how the improprieties originated. Wainstein's report answered those questions and in doing so confirmed and made clear that the failings of the past ended in 2011. Importantly, the Wainstein report also recognized and commended the University for the substantial reforms implemented in the wake of the past irregularities. For its part, the University carefully scrutinized the Wainstein report and found that no aspect of the reforms already well along in their implementation were incomplete or otherwise lacking. Since the release of the Wainstein report, the University has continued to invest

substantially in ensuring the effectiveness of the many proactive initiatives implemented in the past few years.

Chancellor Folt and the University's leadership team have embraced all of these recent challenges and viewed them as an opportunity to bring closure by ensuring a complete and accurate understanding of the origin of the past academic irregularities and insisting on appropriate accountability for anyone in any way involved in the past shortcomings. The guiding light has been the University's commitment to transparency, full acceptance of responsibility, and integrity in everything we do.

Carolina's efforts in recent years to move definitively beyond the past shortcomings have required boundless commitments of energy and persistence from the University community. These efforts have been a top priority not only for the University's leadership team, but also, and importantly, for Carolina's faculty. Indeed, the faculty's leadership and show of strength through its candid acknowledgment of the past shortcomings and untiring commitment to implementing and testing the effectiveness of reforms—to ensuring that the University has moved beyond the shortcomings of the past—has been extraordinary. The entire University community understands the importance of righting the past by continuing to seize present opportunities for Carolina and its future.

Holding Individuals Accountable

Upon the release of the Wainstein report in October 2014, Chancellor Folt pledged to hold accountable individuals who still worked for the University and were found to be implicated in the past academic irregularities. Many individuals identified in the report as potentially having knowledge of the irregularities no longer worked for the University, as some had retired and others had voluntarily resigned or otherwise separated from Carolina. For the six remaining employees mentioned in the Wainstein report, the University commenced a comprehensive review process led by two senior members of the new leadership team, James W. Dean, Jr., the Executive Vice Chancellor and Provost, and Felicia Washington, the Vice Chancellor for Workforce Strategy, Equity and Engagement. In conducting the review, the University reviewed millions of emails, conducted numerous interviews, and at every step took great care to seek truth while also respecting the rights of the affected employees. The review concluded in November 2015, with the University [publicly disclosing the results](#) on the Carolina Commitment website. At no point in the review did the University find that any information ever was misrepresented to or withheld from the Commission or the Special Committee that visited Chapel Hill in April 2013.

Implementing Expansive Reforms and Proactive Initiatives

Among the University's many and most important responses to the past academic irregularities has been the design and implementation of specific reforms as well as other proactive improvement initiatives. The reforms began as early as 2011, upon the discovery of the failings in the former AFAM Department and instantly became a top priority for the University. By the time the Wainstein investigation had commenced in early 2014, nearly all of the reforms had been implemented and were being assessed

for their effectiveness. For example, by the fall of 2014, the University had completed a comprehensive review and overhauling of its former AFAM Department, by revising major and minor requirements, introducing syllabus requirements, adopting a contract for all independent study courses and instituting an annual process for reviewing the department's chair teaching, research, and administrative work. In addition, by 2014 the University had implemented new requirements and procedures governing nearly every aspect of independent study courses across all undergraduate programs, including processes relating to their approval and grading oversight. The University's January 2015 report to the Commission provides detailed information on these and many other reforms that had been implemented in response to the past irregularities.

The University used the many specific findings in Wainstein's final report to ask whether any additional reforms were needed. The answer proved to be no, for the University, well before the Wainstein investigation had even commenced, had gone to extraordinary lengths to design and implement over 70 distinct reforms that comprehensively addressed the past irregularities even as described in the Wainstein Report.

The breadth of the University responses to those past irregularities has been expansive, their focus well beyond the precise shortcomings in the former AFAM Department, and their design and successful implementation a matter of careful planning, including through extensive faculty input, persistent monitoring, extensive documentation, and robust testing to prove effectiveness. The University has also committed to a course of openness and appropriate transparency by conveying massive amounts of information about these initiatives and their effectiveness to the Commission and the public.

In broad strokes, as described on the Carolina Commitment website, the [key reforms](#) have come primarily along six dimensions:

- **Admissions and Preparedness:** Enhancements to and transparency of the special-talent admissions process, and improved methods of assessing preparedness for UNC-Chapel Hill academics.
- **Academic Excellence and Accountability:** Changes in reporting relationships, policies, and processes to improve accountability and standards for independent studies, expectations for faculty, and department chair reviews.
- **Course Integrity:** Processes, systems and reporting to ensure compliance and to audit course delivery, numbering of courses, assessment standards, grade changes, and clustering.
- **Athletics Integrity:** Standards for athletics oversight, changes to the Faculty Athletics Committee, increased staffing for institutional compliance, risk identification and management, and extensive reporting.
- **Athletics Excellence and Accountability:** Measures to enhance the student-athlete experience and strengthen collaboration through the faculty governance structure.

- **Advising and Supporting:** Improvements to maximize students' academic opportunities and future success and better monitor student athletes' academic progress.

At a more specific level, the breadth and rigor of these initiatives—and the efforts to ensure and prove their effectiveness—are difficult to overstate. For example, over the past five years, the University:

- Reviewed and revamped its former AFAM Department;
- Undertook a top-to-bottom review and revision of the processes for ensuring the integrity of academic programs and courses (including independent studies);
- Expanded the academic advising and support services available to student-athletes and moved the oversight of those services from the College of Arts and Sciences to the Provost and eliminated the dotted-line relationship to the Department of Athletics;
- Enhanced faculty governance structures;
- Audited academic policies and procedures across the University;
- Created an Ethics and Integrity Working Group to assess the quality and sufficiency of our ethics-related programs and training and to ensure the existence of clear and confidential channels through which individuals can report concerns or violations of policy;
- Created a Policy and Procedures Work Group to design improve processes for policy management institution-wide;
- Instituted measures to ensure systematic reviews of department chairs;
- Augmented athletics compliance measures; and
- Launched a new public records website to enhance accountability, transparency, and responsiveness to records requests.

These initiatives have cost the University millions of dollars.

The University has devoted equally significant resources to ensuring the success of these and the other reform measures. The reforms have brought with them clear lines of implementation responsibility, defined oversight and monitoring processes, and an unyielding commitment to integrity. The documentation codifying the reforms is equally robust, and the evidence of their successful implementation embodied in the thousands of pages of materials provided to the Commission along with this report and the University's January 2015 report.

The University devoted most of its January 2015 report to SACSCOC to identifying and explaining the specific reforms implemented in each of these areas. The University backed its report with thousands of pages of supporting materials—all combining to show the success of the reforms put in place to prevent any recurrence of the past irregularities, to move forward in a culture defined by the highest

degree of integrity, and to comply fully with the Commission's *Principles of Accreditation*. The University's 2015 report also inventoried the University's extensive communications and regular dialogue with SACSCOC ever since the past academic irregularities were first identified.

Upon receiving and reviewing our January 2015 report, the Commission informed the University that its accreditation was being fully maintained and, in doing so, expressed no reservation about the about the scope or effectiveness of the many reforms instituted over the past five years. What the Commission did request, in connection with imposing a one-year period of probation, was information on the effectiveness of very specific initiatives implemented within the last two years. Put differently, the period of probation, as the Commission conveyed to the University, was intended for the limited but important purpose of affording the University sufficient time to be in a position to demonstrate the effectiveness of particular recent initiatives.

Executive Summary of the University's Responses to SACSCOC Specific Requests

On July 1, 2015, having previously informed the University that its accreditation was being maintained, the Commission followed-up with seven narrowed information requests focused on the effectiveness of certain reform initiatives recently implemented by the University's new leadership team following the release of the Wainstein report. In conveying these requests, the Commission explained that it is important for the University, during this one-year period of probation, to take advantage of the passage of time since the *development and institution* of the specific reforms to now show their effective *implementation*. With these new information requests, the Commission has moved beyond many of the broader topics of inquiry regarding the past academic irregularities in the University's former AFAM Department and instead sought information to confirm the sound implementation of particular reforms—an inquiry the University welcomes as an opportunity to further demonstrate our complete compliance with the Commission's *Principles of Accreditation*.

In its July 1, 2015 letter, the Commission identified a total of seven principles, standards, and requirements and asked Carolina to provide evidence of the effectiveness of new initiatives undertaken by the University in each area. Consistent with required standards of fair process, the University expects that the Commission, including its Special Committee, will review the evidence under the same standards applicable to all other institutions. While the subsequent sections of this report as well as the thousands of pages of attached supporting documents provide the University's response to each of the Commission's requests, what follows here is a brief overview.

Principle Requirement 1.1 Integrity

The Commission identified the importance of the University's Ethics and Integrity Working Group as part of requesting information showing the results of the Group's recent efforts as well as information on the University's recent reviews of the Department of African, African American and Diaspora Studies and the

Department of Athletics.

Context: The University instituted an extensive range of reforms following the discovery of the past academic irregularities in its former Department of African and Afro-American Studies. The University's January 2015 report to the Commission catalogued those reforms, explained their objectives, and demonstrated their effectiveness, while also identifying a range of proactive initiatives implemented to achieve even higher levels of operational excellence. Not all of the initiatives had concluded by January 2015, however—a fact that understandably prompted SACSCOC, in connection with its decision to impose a one-year period of probation, to request information on the outcomes of specific initiatives, including the efforts of the Ethics and Integrity Working Group as well as the results of the reviews of the Department of African, African American and Diaspora Studies and the Department of Athletics. The Commission made plain that it sought this additional information as part of assessing how these particular initiatives contributed to strengthening the University's overall institutional and programmatic integrity.

Evidence of Effectiveness: The University's Ethics and Integrity Working Group consisted of a diverse cross-section of faculty, administrators, and staff from across the Carolina community, as well as a student representative and Board of Trustee representative. The Working Group conducted a comprehensive review of Carolina's existing ethics-related programs, training, and mechanisms for reporting concerns or violations of University policy, while also benchmarking the pertinent policies and procedures and any related best practices in place at select institutions across the nation. Drawing upon the substantial evidence amassed during its review, the Working Group concluded that the "campus already has in place a number of programs and resources related to ethics and integrity," including best practices in certain areas, and "did not identify any significant gaps in programs, resources, or reporting mechanisms."

Upon accepting the final report of the Ethics and Integrity Working Group, Chancellor Carol Folt, among other steps, committed to establishing a new, prominent website to reiterate Carolina's unyielding commitment to integrity, to underscore our longstanding resolve to uphold all protections against retaliation of any kind, and to provide links to the multiple existing channels through which any member of the campus community can report a concern or violation of policy. Furthermore, in February 2016, the Faculty Executive Committee passed a resolution endorsing the report of the Ethics and Integrity Working Group.

The efforts of the Ethics and Integrity Working Group proceeded alongside the separate, though complementary work, of the Policy and Procedures Working Group. Recognizing the size and complexity of the University, the Chancellor established this separate working group to ensure Carolina had in place sufficient and sound measures for developing, administering, and, as need be, updating or retiring, the vast number of policies in place across the campus and its many departments, schools, and programs. Assisted by the consulting firm Parthenon-EY, the Policy and Procedures Working Group canvassed Carolina's policies from across the institution, interviewed dozens of stakeholders to understand how policies were developed, administered, and implemented in different parts of the University, and reviewed the policy administration and implementation practices (policy "ecosystems") in place at ten benchmark institutions.

In its final report, the Working Group offered recommendations for further enhancing UNC-Chapel Hill's policy ecosystems. One of the Working Group's recommendations, which was advanced jointly with the Ethics and Integrity Working Group, was the creation of a new, cabinet-level position of Chief Integrity and Privacy Officer with responsibility for leading Carolina's policy management practices and supporting adherence to the highest standards of ethical conduct and integrity in all aspects of the University's operations. In February 2016, the Chancellor accepted this recommendation and appointed Dr. Todd Nicolet, Senior Associate Dean for Administration at the Gillings School of Global Public Health, to serve in this role on an interim basis.

The University's response further documents the positive results of the comprehensive internal and external reviews of the Department of African, African American and Diaspora Studies—both of which reinforced Carolina's complete confidence in the Department's integrity and sound operation. Finally, the University's response describes the results of the many review processes undertaken by and within the Department of Athletics in the last few years, all of which have enhanced the Department's operations and strengthened its partnership with the Office of the Provost in the University's many efforts to educate and support student-athletes. Among the more significant changes was the University's transition of reporting responsibility for the Academic Support Program for Student-Athletes from the College of Arts and Sciences to the Office of the Provost—a change that has allowed Carolina to enhance and expand the many services provided to student-athletes.

The University has complete confidence in its procedures and commitment to ensuring institutional integrity.

Core Requirement 2.7.2 Program Content

The Commission commended the University for providing detailed information, including recent changes and the results of a recent program review, regarding the Department of African, African American and Diaspora Studies and, as a follow-up request, has sought information showing that changes have been codified and that comparable program reviews occur regularly in other departments.

Context: Since the academic irregularities in the former Department of African and Afro-American Studies ended in 2011, Carolina has taken strong, proactive measures to ensure that rigorous academic policies and procedures are implemented, documented, and regularly reviewed for effectiveness—all to protect the quality and integrity of the University's academic programs across the institution. In 2014, the University commissioned an external review of its new Department of African, African American, and Diaspora Studies (AAAD), and followed-up on that review a year later, in 2015, to confirm the continued effective operation of the curricular and other changes instituted in recent years. The Commission's information request focuses not only on results of these recent reviews of the AAAD Department, but, more generally, on the University's commitment to undertake comparable periodic reviews of other academic programs.

Evidence of Effectiveness: Under current policy, the University requires comprehensive academic program reviews of all undergraduate, graduate, and professional degree programs. The reviews occur pursuant to either the University’s Program Review process overseen by the Provost or the specialized accreditation reviews required for most professional programs. Previously, undergraduate programs that were not housed in departments with graduate programs were not reviewed; following a 2012 change in policy requiring them to be included in Program Review, all undergraduate programs now either have or are scheduled to be reviewed by 2018. The University also requires annual reviews of faculty workload assignments and, similarly, both an annual performance review and a five-year post-tenure review of all department chairs in the University.

The 2015 external review of the AAAD Department provided a strong endorsement of its revamped curriculum, faculty’s scholarship, and the levels of transparency, inclusion, and accountability exhibited in the department’s operations. All of the recent revisions of the department’s curriculum are documented on its website and in the *Undergraduate Bulletin*, and changes to department’s governance and operational practices are documented in its 2015 *Policies and Procedures Notebook*. The University’s 2015 internal review of the AAAD Department, conducted by Provost James W. Dean, Jr., found no instance of any AAAD faculty member failing to comply with the University’s policies to ensure academic integrity, including requirements relating to syllabi and independent study contracts.

Comprehensive Standard 3.2.1 | Control of Intercollegiate Athletics

While acknowledging the significant progress of Carolina’s Student-Athlete Academic Initiative Working Group, the Commission asked the University to provide examples of initiatives implemented by this Working Group and information measuring the success of those initiatives.

Context: In fall 2013, Provost Dean and Director of Athletics Cunningham brought together a 10-person team of campus leaders to comprehensively document and assess all academic processes that affect student-athletes from the time that they are recruited until after they graduate. To the University’s knowledge, no other institution had undertaken such an effort. With Chancellor’s direction and support, Dean and Cunningham led the Student-Athlete Academic Initiative Working Group in this effort. The Working Group’s overarching objective—all undertaken in furtherance of the University’s commitment to ensuring complete academic integrity—was to look holistically at academic processes for student-athletes to ensure their sufficiency and transparency and to make any changes necessary to strengthen those processes to further support the success of Carolina’s student-athletes.

Evidence of Effectiveness: The Working Group met publicly at least once per month between November 2013 and March 2015. By summer 2015, the Working Group had documented, assessed and in some cases changed, a comprehensive set of 21 academic processes for student-athletes, from the time they are recruited until after they graduate. The Group considered and responded to more than 70 recommendations from nine reports about athletics and academics at UNC-Chapel Hill published during the previous four years. Interim updates were shared with the Chancellor and the Board of

Trustees, as well as with campus committees, including the Faculty Executive Committee, the Faculty Athletics Committee, the Academic Support Program for Student-Athletes (ASPSA) Advisory Committee and the Student-Athlete Advisory Committee. The Working Group also gave updates via the Carolina Commitment website. In October 2015, and in furtherance of the Chancellor's objective to promote transparency, the Working Group launched a new website organized around and comprehensively describing the 21 academic processes as well as explaining changes made and responses to the various recommendations in the prior reports about academics and athletics.

Based upon its review of the University's processes for student-athletes, the Working Group found that most of processes were sound and operating effectively. In certain instances, however, and in keeping with one of its primary objectives, the Working Group implemented changes through a series of proactive initiatives designed to elevate its processes to the highest possible standards of integrity and operational excellence. For example, as a result of the Working Group's leadership, and among other initiatives, the University developed and implemented five new academic success workshops for incoming student-athletes; established guidelines to provide direction on appropriate communications between coaches, academic counselors, and faculty; established a new process, led by the Faculty Athletics Representative, to improve communications and coordination among the various offices and faculty involved in the process of certifying student-athlete eligibility; and recommended a revision (now under consideration by the Faculty Council's Education Policy Committee) to the University's Class Attendance Policy to clarify and standardize the policy governing excused absences and exam make-ups relating to and as a result of travel to athletic competitions.

The University took each of these measures, among many others, in furtherance of its commitment to the highest possible standards of operational excellence integrity in the administration of its academic processes for student-athletes. The newly-appointed Process Review Group will sustain and enhance these efforts on a going-forward basis.

Comprehensive Standard 3.4.9 Academic Support Services

The Commission recognized the many new initiatives that had been undertaken by the University's Academic Support Program for Student Athletes (ASPSA) and requested additional documentation evidencing the effectiveness of those initiatives.

Context: Providing high-quality and comprehensive academic support services to Carolina's approximately 800 student-athletes remains a priority. The University's ASPSA team works with student-athletes throughout their undergraduate careers and indeed from the time a student first becomes a prospective Carolina student-athlete. Since 2013, and through the work of the ASPSA, Carolina has developed, implemented, and evaluated and confirmed the effectiveness of a number of primary strategic initiatives to improve these support services.

Evidence of Effectiveness: The six primary initiatives implemented in recent years touch upon the key

dimensions of ASPSA’s full panoply of support services for student-athletes. As a structural matter, in 2013, the University reassigned direct oversight responsibility for ASPSA from the College of Arts and Sciences to the Executive Vice Chancellor and Provost—a change that has strengthened the University’s oversight of ASPSA’s operations and service offerings. This reporting line and oversight change also has increased the visibility of ASPSA across the campus community and, in turn, enhanced the integration of the Assistant Provost and Director of ASPSA into campus dialogues about further strengthening academic support services for student-athletes. Alongside this reporting and oversight change also came the launch of a revamped and improved ASPSA website, which contains comprehensive, easy-to-access information on the full range of academic support programs and services for student-athletes, a central means for providing information to faculty who have student-athletes in class, and highlights of the academic achievements of teams and individual student-athletes.

Other initiatives included increasing student-athlete access to academic advising through the College of Arts and Science’s Academic Advising Program; implementing the “My Academic Plan” program to provide student-athletes with a tailored and proactive approach to planning and organizing all aspects of their academic activities; completing a comprehensive assessment of Carolina’s Academic Tutoring Program; enhancing the services provided by ASPSA’s Learning Specialist Unit, including implementation of a Collaborative Support Model to increase the use and effectiveness of those services; and adding five new academic success workshops for all entering student-athletes to assist with their transition to college. Under Provost Dean’s leadership, the University has assessed and confirmed the effectiveness of each of these initiatives and is committed to the continued success of ASPSA and the important services it offers to Carolina’s student-athletes.

Comprehensive Standard 3.7.4 Academic Freedom

The Commission acknowledged the University’s position, explained in our January 2015 report, that our existing policies on academic freedom are proper and in no way interfere with Carolina’s responsibility to ensure complete compliance with principles of academic integrity. The Commission also recognized the University’s plan to establish an Ethics and Integrity Working Group and asked Carolina to demonstrate that the initiatives of such a working group are appropriately adopted and implemented as part of ongoing efforts to prevent future academic irregularities.

Context: In the January 2015 report to the Commission, the University explained that the UNC-Chapel Hill Trustee Policy encourages and protects freedom of inquiry through research, publication, teaching, discussion, and learning—all in furtherance of Carolina’s mission of continuing as one of the world’s leading research universities. The University also reiterated Chancellor Folt’s strong and clear statement that “[a]cademic freedom does not mean freedom from accountability.”

Carolina’s January 2015 report then catalogued specific initiatives instituted in recent years to enhance the University’s commitment to academic integrity, while also explaining that, following the release of the report of independent investigation by Kenneth Wainstein, Chancellor Folt announced the creation of an

Ethics and Integrity Working Group to review ethics-related programs and to ensure that there are clear, consolidated, and confidential channels through which members of the campus community can share concerns or report violations of policy.

Evidence of Effectiveness: The University has the complete confidence in the integrity of its academic programs and an equally sound and enduring commitment to academic freedom. This distinction between academic freedom and academic integrity is clear as a matter of a University policy, principle, and practice, and most recently was reinforced by Carolina's Faculty Council, which passed a resolution emphasizing the obligation of each and every faculty member, in teaching, research, and scholarship, to exercise all aspects of academic freedom with honesty and accountability. The University's commitment to complete integrity also is embodied in—and indeed was the very impetus for—the 70 distinct reforms instituted since the past academic irregularities ended in 2011.

The Commission has properly focused its present request for information on the efforts of the University to implement the recommendations of the Ethics and Integrity Working Group. As detailed in the University's response to Principle Requirement 1.1 Integrity, the Working Group drew its membership from a diverse section of faculty, administrators, and staff, while also including student and Board of Trustee participation, and its efforts entailed inventorying all of Carolina's ethics-related programs, training, and reporting mechanisms and benchmarking those programs and reporting channels against those in place at numerous other institutions. In the end, the Working Group found that the University has in place sound programs and sufficient resources related to ethics and integrity.

On February 4, 2016, Chancellor Folt announced her acceptance of the joint recommendation of the Ethics and Integrity Working Group and the Policy and Procedures Working Group for the creation of a Chief Integrity and Policy Officer position and, as stated above, appointed Dr. Todd Nicolet, Senior Associate Dean for Administration in the Gillings School of Global Public Health, to this role on an interim basis while a search is conducted to fill the position. The Chancellor also announced that the University, as another step to implement the recommendations of the Ethics and Integrity Working Group, would create a prominent website to reinforce our commitment to ethics and integrity while also providing links to the multiple channels through which individuals can report a concern or violation.

Comprehensive Standard 3.7.5 Faculty Role in Governance

The Commission recognized the work of the University's Faculty Athletics Committee (FAC) and requested information regarding not only the Committee's final organizational structure, as approved by Carolina's Faculty Council, but also the effectiveness of its operation.

Context: The FAC is an elected standing committee of the faculty with responsibility for advising the Chancellor on any aspect of athletics, including the academic and broader University experience for varsity student-athletes and the conduct and operation of Carolina's athletic program. Recognizing the important and enhanced role the FAC is playing on behalf of the faculty in the oversight of Carolina's

athletics programs, the Commission reasonably has requested detailed information on the changes to the FAC's structure in recent years and evidence that the FAC is operating effectively to enhance the academic experience of student-athletes and to oversee and report on academic processes and outcomes related to student-athletes.

Evidence of Effectiveness: In 2016, the Faculty Council formally approved a change in FAC's charge that recognized the FAC's current responsibility for assessing the experience of student-athletes from a more holistic perspective. In the last two years, the FAC has added a Vice Chair to expand its focus on national college athletics issues, a representative from the Student-Athlete Advisory Council to ensure that the Committee hears the perspective of those most affected by its decisions, and three additional members to allow the Committee to better fulfill its expanded responsibilities. Since 2012, the FAC has reviewed policies and procedures and extended its direct involvement in monitoring the academic progress and outcomes of student-athletes by collecting and analyzing a broad range of data from many sources. So, too, does the evidence show that the FAC has collaborated with other campus offices and groups, including the Student-Athlete Academic Initiative Working Group and, more recently, the Process Review Group, in the design and implementation of specific reforms and initiatives undertaken by the University to address past irregularities and to further enhance academic processes, including the many academic support services offered to student-athletes. The University has complete confidence in the integrity of its athletics programs, including the extensive academic services provided to student-athletes, in no small part because of the sound governance and oversight role by the FAC.

Federal Requirement 4.7 Title IV Program Responsibilities

The Commission recognized the University's recent implementation, pursuant to Title IV of the Higher Education Act, of a strengthened Satisfactory Academic Progress (SAP) policy to monitor students' academic progress toward graduation and sought information regarding the effectiveness of the new policy.

Context: The purpose of a SAP policy is to ensure that federal financial aid funds are disbursed only to students who meet specific standards for satisfactory progress. The University developed its new SAP policy based upon guidance provided by the U.S. Department of Education and implemented the policy through the Office of Scholarships and Student Aid in the 2014-15 academic year. The implementation occurred through a series of communications to students, including via a new webpage containing comprehensive information about financial aid eligibility requirements, academic progress evaluations, and active monitoring of students at risk of losing their eligibility. The body of this report describes examples of communications and the outcomes of the new policy in terms of student eligibility to continue their studies.

Evidence of Effectiveness: Over the summer of 2015, the University examined the implementation of its new SAP policy and processes and found them effective and in full compliance with federal regulations, a conclusion confirmed in August 2015 in a letter from the North Carolina State Auditor. In its own

evaluation, the Office of Scholarships and Financial Aid found not only that its communications about financial aid eligibility were reaching students, but also that many students who became ineligible were drawing upon the guidance in those communications to appeal for extensions of their financial aid and otherwise to take steps to seek academic assistance. The Office of Scholarships and Financial Aid used the feedback from its evaluation to adjust its academic progress monitoring processes as well as the frequency of communications with students for the 2015-2016 academic year. Each of these successes is documented in detail in the report.

Carolina's Commitment to Unyielding Integrity

All of these efforts, and the many others discussed in detail in Carolina's January 2015 report, amassed over five years and at great expense, have reflected the University's candid and sober acknowledgement of its past failings—now five years behind the University—as well as the extraordinary resolve of the entire Carolina community restoring trust and adhering to unyielding integrity in everything we do. The challenges of the past, and the University's responses to those challenges, have made Carolina an even better and stronger institution.

The University is confident of its full compliance with Commission's *Principles of Accreditation*.

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[Facts and Figures Jan 2016](#)

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[July 1, 2015 Letter from SACSCOC Concerning June 2015 Board Decision](#)

[Wainstein Report](#)

[UNC-CH New Senior Leadership Team](#)

[UNC Message to Campus Community Regarding Personnel Reviews after Wainstein Report](#)

[Carolina Commitment List of Reforms](#)

PRINCIPLE OF INTEGRITY

I.1 Integrity

Principle Requirement I.1 Integrity

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

SACSCOC Request for Information

In the July 1, 2015, letter from SACSCOC, the University of North Carolina at Chapel Hill was asked to address the following specific requests for information regarding its compliance with this standard:

New information provided by the institution through the private investigative review has led the institution to establish an Integrity Working Group and to review the Department of African, African American, and Diaspora Studies (AAAD) and the Department of Athletics. Although the report outlined plans to ensure integrity in the operations of the two departments, the institution has not yet provided sufficient evidence of the impact of these new initiatives for correcting the issues related to integrity and compliance. The institution must show evidence of the specific outcomes of the Integrity Working Group and the reviews of AAAD and Athletics as they relate toward strengthening institutional and programmatic integrity.

Summary of the University's Response

The University took decisive, concrete action to institute an expansive range of program reviews, operational changes, oversight policies, and quality control measures in the wake of the past academic irregularities in its former Department of African and Afro-American Studies. All of those shortcomings ended five years ago, in 2011—a fact confirmed by the independent investigation initiated by the University and conducted by Kenneth Wainstein. In the past five years, personnel across the University, foremost its faculty and new executive leadership team, have worked tirelessly not just to design and implement comprehensive reform initiatives, but also—and more importantly—to assess and confirm their sound operation and effectiveness. The University today has confidence in each of its academic programs, including the entirely revamped program in place in the Department of African, African American, and Diaspora Studies (AAAD). As a result of the efforts of the Ethics and Integrity Working Group in 2015, Carolina also has confidence in the sufficiency of its ethics-related programs, training practices, regulations, and reporting and compliance mechanisms.

In response to the Commission's request for information, this section amasses the evidence demonstrating the outcomes of the Ethics and Integrity Working Group and Policy and Procedures Working Group as well as the program review of the AAAD Department. This section also highlights the results of other important initiatives completed in 2015. When considered collectively, these initiatives, together with the many others documented not only in this report but also in the University's January 2015 report to the Commission, have reinforced UNC-Chapel Hill's confidence in the sufficiency and effectiveness of the measures put in place to ensure integrity in the University's actions.

- Following a comprehensive inventory of UNC-Chapel Hill's ethics statements, training and

education programs, and campus reporting mechanisms, as well as robust benchmarking of the ethics and compliance programs, enterprise risk management, and related administrative structures in place at other institutions, the Ethics and Integrity Working Group confirmed its initial assessment that the University has in place sufficient programs and resources related to ethics and integrity. Indeed, the Working Group identified no significant gaps in any of these areas or in UNC-Chapel Hill's existing mechanisms for reporting a concern or violation of a University policy or regulation. The Working Group, as expected, however, did bring forth at least 12 distinct recommendations for continuous improvement and ways to make existing resources more visible and accessible to the campus community.

- In December 2015, upon accepting the Working Group's final report, Chancellor Carol L. Folt announced that she charged the University's Vice Chancellor of Communications and Public Affairs with overseeing the launch of a new University website that not only will reiterate Carolina's commitment to ethics and integrity, but also will provide links and easy access to the proper channels through which any member of the campus community can report a concern or violation of policy.
- In February 2016, the Chancellor announced her acceptance of the joint recommendation of the Ethics and Integrity Working Group and the Policy and Procedures Working Group to create the position of Chief Integrity and Policy Officer, a new senior administrator position reporting directly to the Chancellor with responsibility for leading UNC-Chapel Hill's policy management practices and allowing the University to continue implementing and sharing best practices in these areas across the campus community.
- Alongside the Ethics and Integrity Working Group, Chancellor Folt also established a Policy and Procedures Working Group to conduct an institution-wide evaluation of the University's policy management processes. Given the size and complexity of UNC-Chapel Hill—offering 78 bachelor's, 112 master's, 68 doctorate and seven professional degree programs through the College of Arts and Sciences and professional schools with almost \$1 billion in research expenditures—the University believed it prudent to assess the sufficiency and quality of the procedures in place across the campus relating to policy approvals, modifications, implementation, revocations, and access. Put differently, UNC-Chapel Hill established the Working Group not in response to any perceived shortcoming in the University's policies and procedures, but rather as part of proactively working to strengthen our management of policy lifecycles and to ensure that community access to policies and procedures was as easy and efficient as possible.
 - Composed of representatives from across the University, the Policy and Procedures Working Group sought outside assistance from an expert consulting firm and, over the course of seven months, engaged in a thorough assessment of UNC-Chapel

Hill's policy management practices while also benefiting from benchmarking the practices of 10 other institutions, including institutions known for having best practices in this area.

- In its final report, the Working Group made specific recommendations for enhancing the University's administration and management of what the Working Group termed Carolina's "policy ecosystem." The recommended changes included creating a new Chief Integrity and Policy Officer position and establishing a central web repository for all policies in place across the University.
- In 2014, a distinguished team of external faculty reviewed the University's revamped program in the Department of African, African American, and Diaspora Studies (AAAD). The external team commended the extraordinary efforts of the AAAD Department not only to "recreate" itself in recent years, but also to institute a program on the "cutting edge of its discipline." The external review confirmed that a culture of transparency, democratic participation, and accountability exists in the AAAD Department, and indeed defines the Department's operations. This evidence, along with the positive findings from the University's own thorough internal review of all dimensions of the AAAD Department, including its governance mechanisms, operational policies and procedures, and curriculum content, provides the University with complete confidence in the quality and integrity of its AAAD program.
- When it comes to the provision of academic support services for Carolina's student-athletes, a significant structural change occurred in 2013. It was then that the University, after considerable consultation among senior University leaders, moved the Academic Support Program for Student-Athletes (ASPSA) to the Office of the Provost from the Center for Student Success and Academic Counseling in the College of Arts and Sciences. The change allowed the University's chief academic officer to more directly shoulder responsibility for overseeing and ensuring the sufficiency of the academic resources provided to all student-athletes. This organizational change helped spark substantial efforts to consolidate into one, easy-to-access location for current and prospective student-athletes information on the University's broad range of academic support services. Detailed information about particular services is now accessible in one-click, including very specific instructions for how to schedule a tutoring session or appointment in the Writing Center, meet with an academic counselor or career services advisor, or access all other services available to student-athletes. The revamped ASPSA website also highlights the academic achievements of student-athletes and their teams.
 - The breadth, specificity, and ease of accessing the information on the revamped website reflects an extraordinary accomplishment within the past year.
 - By providing a complete, interconnected, state-of-the-art roadmap to all academic-

related information for Carolina's student-athletes, the revamped website demonstrates the unparalleled degree to which the University has gone to support its student-athletes.

- In 2015, the Student-Athlete Academic Initiative Working Group concluded its assessment of dozens of policies and procedures across 21 separate academic processes affecting student-athletes while also launching a new website dedicated to housing in one place all information on academic processes relating to student-athletes and resources available for them. The information on the new website (<http://apsa.unc.edu>) is comprehensive, well organized and easy to navigate.
- As explained fully below, the Department of Athletics has instituted an expansive range of initiatives in recent years to enhance its collaboration with academic departments across the University and to bolster compliance measures. These changes range from improving the information student-athletes receive on the University's Honor Code and other policies to appropriately monitoring student-athlete employment to ensure compliance with applicable policies. The University is fully confident that effective processes are in place to ensure institutional integrity with regard to all of its students, including its student-athletes.

Actions

The Ethics and Integrity Working Group and the Policy and Procedures Working Group

Following the release of the Wainstein report, the [Chancellor appointed](#) the Ethics and Integrity Working Group and the Policy and Procedures Working Group to review all of the University's ethics-related programs, practices, and reporting mechanisms and, more generally, to conduct an inventory of the University's policies and procedures and to review the processes for administering, overseeing, and periodically reviewing and revising those policies and procedures.

The Ethics and Integrity Working Group

In establishing the Ethics and Integrity Working Group, the Chancellor sought to draw upon a broad, diverse range of faculty members and University administrators to review Carolina's existing ethics-related programs, training, and mechanisms for any member of the campus community to report a concern or violation of University policy. [The charge](#) and objective were clear. By canvassing existing programs and reporting mechanisms, while also taking steps to benchmark the University's policies and practices against those of other institutions and to identify best practices, the Working Group would be well-positioned to assess the sufficiency of the University's processes and resources in these areas and to recommend future improvements. The broader design of these efforts was for the University, through the Working Group, to examine how the campus might create an optimal culture, principles, and practices to

reinforce integrity and ethical behavior in every aspect of the Carolina community.

The Ethics and Integrity Working Group was co-chaired by Norma Houston, the Albert and Gladys Coates Term Distinguished Lecturer for Teaching Excellence at the School of Government, and Jean Elia, Associate Provost for Strategy and Special Projects in the Office of the Provost, and encompassed a [diverse cross-section of the University community](#), with members representing faculty, administrators, staff, students, and trustees. The Working Group met 20 times between June and November and submitted its final report to the Chancellor on November 24, 2015.

The Working Group [conducted an extensive review](#) of the University's full range of existing ethics and integrity-related programs, training, practices, regulations, and mechanisms for reporting concerns or alleged violations of policy. The review consisted of a search of websites across the entire institution, including those of academic, administrative, student support, and research units. In addition, to benchmark and identify potential best practices, the Working Group divided into four sub-groups and gathered [information from over 30 institutions](#) across the nation to help assess the sufficiency of the University's current programs and practices and to provide ideas for recommendations. Finally, the Working Group received substantial assistance from a former senior advisor to the Chancellor in canvassing the organizational design, enterprise risk management, and policy office structures in place at six other representative institutions.

All of these efforts culminated in the Ethics and Integrity Working Group reaching a clear and definitive [conclusion](#): "From this research, the Working Group confirmed its initial assessment that the campus already has in place a number of programs and resources related to ethics and integrity; it did not identify any significant gaps in programs, resources, or reporting mechanisms." The Working Group also emphasized that certain existing programs are recognized as national models, such as the University Ombuds Office and the School of Medicine's Program on *Behaviors Toward Medical Students*.

Upon receiving the Working Group's final report, Chancellor Folt, in a [letter dated December 22, 2015](#), commended the Group for its comprehensive and thorough review of the University's ethics-related programs, training, and reporting mechanisms.

[The Working Group's] conclusion—and the substantial evidence that backs it—provides great confidence not only that we have robust mechanisms and controls in place across our university, but also that we live up to the highest principles of integrity and ethical behavior and hold one another accountable to those standards.

The Working Group's [final report and recommendations](#), with supporting documents, is provided here for the Commission's review. These documents go well beyond the information sought by the Commission and evidence the extraordinary—indeed unparalleled—lengths to which the University has gone to ensure complete institutional integrity.

The Policy and Procedures Working Group

As mentioned above, in May 2015, the Chancellor created the Policy and Procedures Working Group to serve concurrently with the Ethics and Integrity Working Group. The Policy and Procedures Working Group had a different, though complementary, charge and reflected a proactive step by the University to assess the quality and sufficiency of the University's policy management processes. In the [charge to the Working Group](#), the Chancellor underscored that the University's size and complexity warranted this step as a way of ensuring the sound organization and administration of the vast number and broad range of policies that span all campus units and functions. Accordingly, Chancellor Folt asked the Working Group to design and oversee an institution-wide review of policies and procedures, develop recommendations for any suggested improvements, and create a mechanism for their periodic re-evaluation.

The Working Group was chaired by Dr. Todd Nicolet, Senior Associate Dean for Administration in the Gillings School of Global Public Health, and, like the Ethics and Integrity Working Group, tapped the expertise of a [broad cross-section of the University community](#), with a focus on specific units with significant operational responsibilities including Human Resources, the Provost's Office, Finance and Administration, Information Technology Services, Student Affairs, Internal Audit, University Counsel, select professional schools, and the College of Arts and Sciences. The Working Group met 28 times between May 2015 and February 2016, held over 30 feedback sessions with campus constituents, and submitted its final report to the Chancellor on February 25, 2016.

One of the Policy and Procedures Working Group's first steps in designing its project plan was to enlist the assistance of an expert consultant, Parthenon-EY, to assist with not only canvassing all of the University's policies, but also reviewing the policies and policy "ecosystems" at other benchmark institutions. The initial work also entailed discussions with 25 University stakeholders to understand, as an operational matter, [the processes in place across the campus](#) community for developing and implementing policies and procedures. The Working Group's [benchmarking of the policy management practices](#) in place at 10 other institutions provided sound examples of best practices in similarly large, complex research universities.

Based on these benchmarking efforts as well as gaining a comprehensive understanding of the specific needs of UNC-Chapel Hill through consultation with stakeholders from academic and administrative units on campus, the Working Group developed [recommendations](#) for enhancing the University's ability to effectively manage the full lifecycle of policies and procedures on campus. The Working Group identified necessary components of a strong policy ecosystem, including a classification system that can be applied institution-wide; a governance structure for decision-making related to policies; an implementation structure for ensuring that policy-related efforts are completed; and methods for policy management, including formation, approval, review and maintenance, communication, and decommissioning. Before moving forward with recommendations, however, the Working Group took the additional step of seeking

feedback from a group of [faculty governance stakeholders](#).

The Working Group then explored how these recommendations and the [risk management framework](#) it developed could be applied in actual practice. It did so by reviewing policies and procedures in [three key policy focus areas](#): policy governance in the College of Arts and Sciences, the Office of the Registrar, and coordination of undergraduate academic policies. The review not only provided an analysis of policies and procedures in these critical areas, but also [helped test a model](#) for how the University can continue to review policies and procedures as part of the recommended policy ecosystem.

In its final report, the Working Group advanced a series of specific recommendations, including one particular joint recommendation with the Ethics and Integrity Working Group to create a Chief Integrity and Policy Officer for the University. The Working Group anchored its [recommendations](#) in a series of interrelated and reinforcing [principles](#) that would bring more centralization to the University's policy ecosystem, including through the establishment of a web-based repository easily accessible to the entire University community, while also instituting measures to enhance the efficiency and effectiveness of policy management practices.

The Working Group's [final report](#) including its recommendations and supporting documents is provided here for review.

Outcomes and Evidence of Effectiveness of the Working Groups

The efforts of the two Working Groups over the course of 2015 were extraordinary and reflected the unparalleled lengths to which the Carolina community, with superb leadership from its faculty, continues to go to proactively ensure the highest levels of integrity. All of these efforts extend well beyond any requirements and have put the University in the position of having complete confidence not only in its compliance with the Commission's *Principles of Accreditation*, including Principle Requirement I.1 on Integrity, but also that UNC-Chapel Hill is itself setting the standards for best practices in many areas.

The findings of the two Working Groups highlighted opportunities to build on the current foundation to advance the University's commitment to ethical behavior, integrity, and compliance in every aspect of campus life. The Working Group's recommendations for enhancing the effectiveness of existing institutional integrity mechanisms and evidence of the University's responses to date are summarized here.

- **Establishing a new position of a Chief Integrity and Policy Officer.** The Ethics and Integrity Working Group and the Policy and Procedures Working Group jointly recommended the creation of a new Chief Integrity and Policy Officer to support the University's commitment to cultural and procedural best practices related to ethics and policy.

- **Outcomes:** Chancellor Folt [approved a new Chief Integrity and Policy Officer position](#) to report directly to the Chancellor, and appointed Dr. Todd Nicolet, chair of the Policy and Procedures Working Group, to serve in this role on an interim basis.
- **Promoting policies and practices.** The Ethics and Integrity Working Group recommended that the University promote its commitment to ethics and integrity by addressing influences that shape the campus culture of ethical behavior and reinforcing, through policies and practices, the University's resolve to live its values. One way of doing so would be to reiterate the University's clear commitment to uphold protections against retaliation.
 - **Outcomes:** The Office of the Vice Chancellor for Communications and Public Affairs has developed a prominent website, [Ethics and Integrity at Carolina](http://ethicsandintegrity.unc.edu) (<http://ethicsandintegrity.unc.edu>), to serve as a central resource of ethics-related resources, policies, and reporting channels that will make this information easier for the campus community to find, access, and use. This website, which is scheduled to launch in March 2016, reiterates and underscores the University's longstanding commitment to upholding all protections against retaliation of any kind.
- **Educating the University community about reporting processes.** The Ethics and Integrity Working Group recommended expanding opportunities for members of the University community to report concerns and potential violations through campus-wide communications about all available reporting mechanisms. The Working Group further suggested that the University's [Compliance Line](#) for confidential reporting through EthicsPoint, a commercial service provider, should be reassessed periodically to determine if additional reporting categories were needed.
 - **Outcomes:** The new [Ethics and Integrity at Carolina](#) website provides [links to the multiple existing channels](#) by which any member of our community can report a concern or a violation of policy. It also serves as a portal to access policies and other resources related to ethics and integrity.
- **Adopting an overarching University-wide statement.** The Working Group recommended that the University adopt a statement on ethics and integrity to serve as the overarching declaration of ethical principles to be adhered to by all members of the University community.
 - **Outcomes:** In January 2016, the Ethics and Integrity Working Group [presented its recommendations](#) to the Faculty Council, including a statement on ethics and integrity. The Chair of the Faculty, Dr. Bruce Cairns, introduced a resolution to express the faculty's support of the Working Group's final report and findings. The

Faculty Executive Committee of the Faculty Council unanimously passed [Resolution 2016-7](#) On Endorsing the Report of the Ethics and Integrity Working Group on February 22, 2016.

The Ethics and Integrity Working Group relied upon substantial evidence to support its conclusion that the University has in place a robust array of programs and resources related to matters of ethics and integrity. On this body of evidence, especially when considered in light of the other evidence presented in this report and in UNC-Chapel Hill's report of [January 2015](#) to the Commission, the University has complete confidence in its institutional and programmatic integrity.

Reviews of the Department of African, African American, and Diaspora Studies (AAAD)

Virtually every element of the AAAD Department has been reviewed and many changes in its operations have been made since the irregularities detailed in the Wainstein Report ended in 2011. The effectiveness of these changes and the Department's current status were the focus of an external review in October 2014 and a subsequent round of internal reviews by the Department chair, members of the Provost's Cabinet, and the Provost himself in 2015.

Among the many changes made by the AAAD Department to ensure ethical behavior and programmatic integrity were the following:

- In 2012, the AAAD Department changed its administrative structure [to add checks and balances](#) intended to identify any inappropriate activity on the part of faculty members or the chair. The new governance structure includes an explicit commitment to academic integrity.
- The faculty revised a number of academic [policies and procedures](#) to ensure the integrity of courses and credit hours. For example, the Department chair must [review and approve a written contract](#) between a faculty member and student prior to engaging in an independent study course. The contract must specify the student's interactions with the faculty member, assignments, evaluation criteria, and time and effort expected in relation to the credit hours.
- The AAAD Department instituted [significant curriculum reforms](#) in 2012 with additional revisions in 2015. These changes addressed course sequencing and progression while also adding a research experience as a requirement for the major to ensure significant faculty-student interaction on a substantive topic in the discipline.

Outcomes of the Reviews and Evidence of Effectiveness

External Review of the AAAD Department. A distinguished team of faculty experts in this discipline completed a [comprehensive external review](#) of the AAAD Department in October 2014. Overseen by the Office of the Provost and coordinated by The Graduate School, this review included external reviewers from the University of Wisconsin at Madison, Northwestern University, Mississippi State University, and a UNC-Chapel Hill faculty member. The University's response to [Core Requirement 2.7.2 Program Content](#) contains additional information on the program review process and findings.

Concerning ethics and integrity within the current AAAD Department, the external review team made the following [observations](#):

[O]ver 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, ... a new curriculum has been formulated and installed; ... 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...

Internal Reviews of the AAAD Department. In 2015, the Provost charged senior members of his Cabinet to examine the reports and documentation from the external and internal reviews of the Department and provide an [overall assessment of the status of the unit](#) based on all sources. Two key findings, among many others, included:

The department has made substantial changes in its organization and governance, has revised its undergraduate curriculum, and has initiated a strategic planning process. Almost all of the recommendations of the program review have been implemented or are under active consideration. (from the Vice Provost for Academic Initiatives)

The three academic years covered by this [review] reflect a period of significant advancement in the department, as reflected in its name change, its curriculum reforms and its new governance structure. ... Departmental faculty members are rigorously evaluated for their teaching in accordance with the policies and procedures of the College of Arts and Sciences. One of the most significant reforms that has taken place within AAAD during this period is the introduction and implementation of a shared governance model. Initiated in the spring of 2012, the model focuses on enhancing the department's commitment to academic integrity and excellence in research, teaching and service; ensuring adherence to University policies and procedures; encouraging active and transparent citizenship and accountability, and deepening the social cohesion and interchange across the academic disciplines represented in the department. (from the Associate Provost for Strategy and Special Projects)

Evidence of Effectiveness

The University has complete confidence in the integrity of its AAAD Department. Under continuous and intense scrutiny in recent years, the University knows of not a single instance of a course offering that was inappropriate by any standard in the last five years — since the past irregularities ended in 2011. Furthermore, two AAAD Department faculty members have recently won teaching awards: Dr. Reginald Hildebrand won the 2012 Award for Excellence in Undergraduate Teaching, and Robert Porter won the 2014 Student Undergraduate Teaching Award. Mr. Porter was also a finalist for the 2014 Chapman Family Faculty Fellowship. Other AAAD Department faculty members have been engaged as consultants by the United Nations and the African Union, a further testament to their expertise. Finally, over the past three years, the AAAD Department faculty's number of presentations at scholarly conferences has increased by 12%, their production of journal articles and book chapters has increased by 27%, and their production of books has increased by a remarkable 700%. More information on the accomplishments of the AAAD Department faculty is included in their [fall 2015 self-assessment report](#).

Reviews of the Department of Athletics

The Department of Athletics has been in a near-continuous process of review since January 2013, led by Director of Athletics Lawrence (Bubba) Cunningham. Two particularly important changes to the Athletics Department made in recent years include the following, each of which is explained at length in other sections of this report:

- In 2013, the University moved the reporting line for the Academic Support Program for Student-Athletes (ASPSA) from the College of Arts and Sciences (with a dotted line relationship to the Athletics Department) to the Office of the Provost. This move was very significant, as it put the unit under the direct authority of the University's chief academic officer and links academic support for student-athletes to the academic center of the University. The repositioning of this unit has allowed ASPSA staff to build relationships with others in the academic community who can assist them in their continued strengthening of support for student-athletes. The ASPSA's new initiatives and outcomes are discussed in detail in the response to [Comprehensive Standard 3.4.9 Academic Support Services](#).
- The University recently completed a two-year project to examine academic processes across the University that impact student-athletes and to implement initiatives to enhance their educational experiences at UNC-Chapel Hill. The Athletics Director and the Provost co-chaired the [Student-Athlete Academic Initiative Working Group](#), charged by the Chancellor with undertaking this effort. Detailed descriptions of the outcomes of the work of this group are provided in the University's response to [Comprehensive Standard 3.2.11 Control of Intercollegiate Athletics](#).

Beyond these two major initiatives, the Department of Athletics prepared a [summary of the key](#)

improvement initiatives the last two years and delivered it to the Provost in January 2016. This brief report was supplemented with extensive documentation about the many strategic and operational initiatives completed.

Outcomes and Evidence of Effectiveness

As a result of the extensive reviews undertaken by and within the Department of Athletics, the Department's operations have been dramatically enhanced in recent years, including in ways that have resulted in the Department becoming more fully a partner with the Office of the Provost in the many efforts undertaken to educate and support student-athletes.

- **Education on Honor Code and Academic Integrity.** Enhanced collaboration with the Office of the Dean of Students in Student Affairs has resulted in more comprehensive programming for student-athletes regarding the [University's Honor Code and academic integrity](#). The Office of the Dean of Students educates tutors and student-athletes on important topics such as academic dishonesty, plagiarism, unauthorized collaboration, falsification, misrepresentation, cheating, and other academic misconduct, as well as general student conduct and the Honor Code. Each year, in the presence of the coaching staff, a representative of the Office of the Dean of Students explains the Honor Code and provides education regarding academic dishonesty directly to the student-athletes.
 - **Outcomes:** These additional educational efforts delivered by the University's Dean of Students reduce the risk of academic misconduct by reinforcing the information student-athletes receive from the Athletics Compliance Office about appropriate academic practices, acceptable forms of help, and permissible communication. In addition, having coaches participate in these sessions with the Dean of Students has signaled to student-athletes the commitment of the Athletics Department staff in ensuring academic integrity.
- **Interaction with Agents.** The Department of Athletics has made a variety of efforts beginning in December 2012 to [strengthen education for student-athletes regarding impermissible benefits and interaction with agents](#), financial advisors, and other individuals who seek to represent athletes. Under new leadership, the Department of Athletics Compliance Office developed and implemented a more comprehensive approach to monitoring, [rules education](#), and structured communication with agents and advisors.
 - **Outcomes:** By aggressively and proactively confronting the agent and amateurism issues that had contributed to previous problems, the Athletics Department has reduced the risk of both deliberate and inadvertent violations of integrity in this area. The structured approach to [education and communication](#) has benefited student-athletes and their families by providing them with more information to inform their choices in these critical areas. This structure also includes more

rigorous monitoring, which both deters and enables detection of inappropriate relationships with agents. To date, no evidence of violations have been found in this area.

- **Certification of Ethical Conduct.** The Department of Athletics has maintained its strengthened commitment to ensure that all of its employees operate in accordance with ethical standards. The Department implemented a requirement that upon hiring and annually thereafter, every employee must sign a [Certification of Ethical Conduct](#). This certification specifically mandates disclosure of past or current involvement with agents, financial advisors, or runners. All new employees make this attestation upon beginning their employment.
 - **Outcome:** The additional attestation process has reinforced the emphasis on personal responsibility and accountability for ethical conduct. Since implementation of this requirement, no evidence of violations by Department of Athletics employees has been found.
- **Compliance Education.** The Compliance Office also started conducting formal [rules education meetings](#) for all sport programs' coaches and their support staff [every other month](#). These meetings emphasize changes in NCAA enforcement policies and procedures, recruiting, employment and outside consultants, camps and clinics, newly adopted legislation, and the concept of head coach responsibility.
 - **Outcomes:** The more frequent meetings have demonstrated to the coaches the commitment of the Athletics Department leadership to establishing and maintaining a culture of strong compliance. The in-depth discussions at these meetings have promoted ideas about new strategies for monitoring, documentation, communication, and education.
- **Athletically Related Income.** The Department of Athletics consistently educates applicable employees through a variety of means about the rules that govern outside athletically related income. The Department revised its existing policy and now requires all staff members to either [report any athletically related income earned](#) (actual dollar amount) as well as the itemized source(s) of such income, or to attest that no outside athletically related income was received.
 - **Outcomes:** The new reporting forms have focused more attention on personal accountability for understanding and complying with the rules. The additional information collected makes it possible to do more detailed audits of compliance with these rules and increased confidence that no violations have occurred.
- **Motor Vehicle Registration.** The Department of Athletics Compliance Office also now requires all student-athletes to submit an [annual Institutional Motor Vehicle Registration](#)

form that collects information about the owner and registration of a vehicle and to update it immediately as the information changes. The Compliance Office reviews the forms for potential NCAA compliance issues.

- **Outcome:** Requiring information that makes the Compliance Office aware of the circumstances under which student-athletes have access to vehicles reduces the risk of NCAA violations in this area.
- **Complimentary Ticket Distribution.** The Department of Athletics has formalized its [policies and procedures](#) related to the distribution and tracking of complimentary admissions, tickets, parking passes, and credentials. All Department employees must maintain a current knowledge of regulations as defined in the policy.
 - **Outcomes:** The policy has raised awareness of appropriate handling of tickets and provided specific guidance to employees. The revised approval process, which includes the Athletics Director and Compliance Office helps to protect the integrity of the Department's business operations and maintains proper inventory controls.
- **Student-Athlete Employment.** The Compliance Office has increased the level of monitoring and verification associated with [student-athlete employment](#). The office revised student-athlete employment policies and procedures, which include an emphasis on communication with both student-athletes and employers, an audit of actual employment activities, and student-athlete employment at non-institutional camps and clinics.
 - **Outcomes:** The policy revision and communication strategy have enhanced awareness of both student-athletes' and employers' awareness of the regulations. The audits that were implemented have identified no problems to date and increased the University's confidence about compliance with these the regulations.
- **Student-Athlete Handbook.** The Department of Athletics revised the [Student-Athlete Handbook](#) available online for all student-athletes. The Handbook is a comprehensive compilation of all policies and risk management resources for student-athletes and includes information on safety and security, athletics compliance requirements, concussions and other health matters, strength and conditioning, facilities, and equipment.
 - **Outcome:** The revised Student-Athlete Handbook provides student-athletes with convenient access to all policies and risk-management resources in one document, reducing the likelihood that they will overlook important information. The Handbook also contains active links to the academic services the University offers to student-athletes which provide them with the most up-to-date information on these resources.

Conclusion

Throughout the University's extensive efforts to take decisive actions, launch new initiatives, and implement changes and practices across campus since the release of the Wainstein Report, the University's senior leadership team has focused on maintaining an unrelenting commitment to act with and promote integrity in every action. The faculty and staff have continued to embrace this same commitment.

The University welcomes the opportunity to show the Commission how our campus has responded to that objective since the fall of 2014. The most significant finding from the extensive work by the Ethics and Integrity Working Group is that the campus already had in place a strong array of programs and resources related to ethics and integrity. The senior leadership team remains focused on fostering a campus community that upholds the highest standards of ethics and integrity. To support that principle, the University is proactively providing students, faculty, and staff with the resources that will help everyone carry out those values. Specifically, the University encourages anyone in the campus community to report any suspicion of wrongdoing or behavior that does not live up to those standards. The development of a well-functioning policy ecosystem further supports the University community's standards of ethics and integrity by clarifying expectations and guiding appropriate behavior.

Further, the Department of African, African American, and Diaspora Studies has taken appropriate steps endorsed by external experts to ensure that its students are receiving the high-quality education they deserve and that faculty are appropriately carrying out their academic duties.

Finally, the Department of Athletics has remained vigilant with its comprehensive reform initiatives by making additional practical improvements and revisions to its policies and procedures to ensure that those practices comply with applicable rules and laws and are properly aligned with the larger campus wide focus on ethics and integrity.

Based on the evidence presented above and indeed throughout this report, the University has complete confidence in the integrity of our programs, policies, procedures, and practices. We believe the strengthened campus culture of ethics and integrity, along with the numerous reforms and initiatives in other areas of the University, demonstrate the resolve of an institution that is responding positively and effectively in moving beyond past challenges.

References

[Chancellor Appointed University Forms Working Groups](#)
[Ethics and Integrity Report and Recommendations—Charge](#)
[Ethics and Integrity Report and Recommendations—Membership](#)
[Ethics and Integrity Working Group Report and Recommendations—Appendix C & D](#)
[Ethics and Integrity Working Group Report and Recommendations—Appendix B](#)

PRINCIPLE 1.1

Integrity

Ethics and Integrity Working Group Conclusion

Chancellor's Letter to Members of the Ethics and Integrity Working Group, December 22, 2015

Ethics and Integrity Working Group Final Report, Nov 2015

Policy and Procedures Working Group Report and Recommendations—Charge

Policy and Procedures Working Group Report and Recommendations—Membership

Policy and Procedures Working Group Report and Recommendations—Institutional Analysis

Policy and Procedures Working Group Report and Recommendations—Benchmarking

Policy and Procedures Working Group Report and Recommendations—Recommendations

Policy and Procedures Working Group Report and Recommendations—Faculty Governance Stakeholders

Policy and Procedures Working Group Report and Recommendations—Topic Risk Framework

Policy and Procedures Working Group Report and Recommendations—Policy Focus Areas

Policy and Procedures Working Group Report and Recommendations—Topic Risk Framework

Policy and Procedures Working Group Report and Recommendations—Recommendations

Policy and Procedures Working Group Report and Recommendations—Principles

Policy and Procedures Working Group Final Report

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Ethics and Integrity at Carolina Website

EthicsPoint—University Compliance Line

Ethics and Integrity Reporting Options Webpage

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AAAD Department Internal Assessment 2012-2015—Governance Structure

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AAAD Internal Assessment 2012-2015 - Faculty Responsibilities

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Office of the Dean of Students - Presentation to Student-Athletes

Office of the Dean of Students - Presentation to Tutors

Locker Room Poster—Agent and Advisor Program

2015 Letter to Football Parents

UNC Football Agent and Advisor Program

Certification of Ethical Conduct

2014-2015 Rules Education

November Rules Education, Recruiting—Football

2014-2015 Outside Athletically Related Income Declaration Form

Automobile/Motorcycle Registration Form

Department of Athletics Complimentary Ticket Distribution Policy

Student-Athlete Employment Documents

UNC-Chapel Hill Student-Athlete Handbook

CORE REQUIREMENTS

2.7.2 Program Content

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.

SACSCOC Request for Information

In the July 1, 2015 letter from SACSCOC, the University of North Carolina at Chapel Hill was asked to address the following specific requests for information regarding its compliance with this standard:

Although the University provided detailed information on completed reviews and changes in the Department of African, African American, and Diaspora Studies, the institution must provide evidence that these changes are codified and demonstrate consistent and comparable application of reviews across the institution.

Summary of the University's Response

Systematically administered program evaluation processes combined with policies and procedures that establish and reinforce standards are critical for ensuring academic program quality. This section of the report provides evidence that the reforms implemented in the Department of African, African American, and Diaspora Studies (AAAD) have been codified and that rigorous reviews of academic programs and policies are applied consistently across the University.

Academic Reviews

- The reports from the AAAD Department's 2014 external academic program review and the 2015 follow-up assessment provided strong evidence of the effectiveness of the curricular requirements and related programmatic changes made since the 2011 termination of the irregular courses identified in that unit. The changes to the curriculum have been codified and the requirements published on the Department's website and in the *Undergraduate Bulletin*.
- All academic degree programs at UNC-Chapel Hill are subject to comparable academic program evaluation processes that include external program reviews and/or specialized accreditation reviews which examine all aspects of the program at regular intervals.

Compliance with Academic Program-Related Policies and Procedures

- Results from a 2015 review by the Provost's Office confirmed that academic policy and procedural changes that support program quality and integrity are fully implemented, codified, and adhered to within the AAAD Department.
- Comparable reviews of compliance with other policies and procedures designed to support program quality, such as department chair evaluations and syllabi audits, are administered in

other departments in the College of Arts and Sciences and professional schools across the University as appropriate.

- During 2015, the University completed an extensive review of institutional policies and procedures, including those implemented and revised over the past four years, to protect and enhance academic program quality and integrity. Results from a pilot project are contributing to the development of a strong policy “ecosystem” at UNC-Chapel Hill to support effective academic policy management across the institution.

Actions

In its [January 12, 2015 response to SACSCOC](#), the University reported the results of a recently completed external academic program review of the Department of African, African American, and Diaspora Studies (AAAD), and described major initiatives underway to ensure the AAAD Department’s compliance with academic policies and procedures. The following sections describe how the changes made in the wake of these two major efforts have been codified and monitored for compliance in both the AAAD Department and across the University.

Formal Reviews of Academic Programs

Academic Program Review in the AAAD Department

In the past four years, the AAAD Department has revised its curriculum and completed an extensive academic program review that included a self-study and an on-site visit from an external review team.

2012 AAAD Department Curriculum Review and Revisions

Immediately following the 2011 termination of the irregular courses identified in the former Department of African and Afro-American Studies (AFAM), the faculty of that department, with support from the College of Arts and Sciences, took broad strides to revamp and ensure the rigor and intellectual vitality of its courses and curriculum.

As described in the University’s January 2015 response to SACSCOC, the AAAD faculty significantly revised the curriculum in 2012. The new curriculum includes core courses required for majors in both the African Studies and the African American and Diaspora Studies concentrations, a capstone course, and a research experience. The new AAAD undergraduate degree major and minor requirements became effective with the fall 2013 term and were published in the [2013-14 Undergraduate Bulletin](#).

To align the Department’s identity with the current contents of the curriculum and the focus of faculty scholarship, the Administrative Boards of the General College and the College of Arts and Sciences in 2013 [approved a name change](#) for the former African and Afro-American Studies Department. The faculty chose the name “African, African American, and Diaspora Studies” to signal to students and scholars in the

field the strong inter-connections that exist across the areas of African, African American, and Diaspora Studies within the Department.

2014-15 External Academic Program Review of the AAAD Department

Before fall 2012, the College of Arts and Sciences required only those departments that offered graduate programs to undergo the formal cyclical academic program reviews overseen by the Provost's Office. Undergraduate programs in those departments were reviewed alongside the graduate programs. Since the former African and Afro-American Studies (AFAM) Department did not house a graduate program, its bachelor's program did not participate in these rigorous external reviews, which might have identified or prevented the academic irregularities that occurred.

In fall 2012, the Provost modified the University's [Program Review requirements](#) to ensure that all degree programs in the College of Arts and Sciences — regardless of level or reporting unit — would be subject to this evaluation on a regular cycle. The [Program Review process](#), which is coordinated by The Graduate School, involves a self-study, a site visit by external reviewers and a UNC-Chapel Hill faculty member from a related discipline, and follow-up meetings with leadership from the dean's office of the respective school, the Provost's Office, and The Graduate School.

The African, African American, and Diaspora Studies Department carried out its first Program Review during the 2014-15 academic year. The AAAD faculty completed the assessment process culminating in a comprehensive [self-study report](#) that the Department submitted in August 2014 in preparation for the on-site review.

The external review team visited Chapel Hill on September 28-30, 2014 and conducted a full schedule of interviews with administrators, department faculty, and student majors. The visiting team included 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.

The review team's [final report](#), submitted in October 2014, provided a strong endorsement of the Department's new curriculum, the first-rate scholarship of its faculty, and the new departmental culture involving high levels of transparency, participation, and accountability. The report confirmed that the new curriculum reflected the current state of the discipline as well as the University's high standards for coherence and progressive advancement through the field of study:

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. (page 2)

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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 [AAAD 487] and the undergraduate research course [AAAD 395] are also noteworthy and most welcome developments. (page 3)

At the same time, the report included [two suggestions](#), both of which have now been implemented.

One suggestion was to more fully incorporate African language study “into the fabric of the major.” The Department provides beginning-to-advanced [instruction in three African languages](#): Lingala (LING), Swahili (SWAH), and Wolof (WOLO). More specifically, the reviewers recommended that the Department allow courses in these three languages beyond the third semester to be counted toward the fulfillment of the 10 courses required by the major’s African Studies concentration, as well as toward the courses required to obtain a minor. The Department adopted this recommendation and [received approval](#) from the Administrative Boards of the College for the appropriate revisions to the African Studies concentration and African Studies minor on February 17, 2015. These changes and took effect in the fall 2015 semester and were published in the *2015-16 Undergraduate Bulletin*.

A second suggestion was that a course on research methods be added as a common course for the two concentrations in the undergraduate curriculum, African American and Diaspora Studies, and African Studies. Since the fall of 2013, students in AAAD’s two concentrations have had the opportunity to jointly take the course “Undergraduate Research Seminar” ([AAAD 395](#)), which is required for the major in both concentrations. Based on the positive intellectual results of this practice and in light of the external review recommendation, the Department changed the previous wording in its undergraduate requirements that encouraged majors to take a section of AAAD 395 in their own concentration. Effective fall 2015, all AAAD majors are required to enroll in a single section of AAAD 395. Having all students, regardless of their concentration, interacting in the same research seminar has contributed to a common identity for the major as a whole. It also complements the capstone course requirement ([AAAD 487](#)), which similarly enrolls students in both concentrations, permitting them to have a sound intellectual experience with strong faculty interaction. This change was [announced on the Department’s website](#) and will appear in the *Undergraduate Bulletin* in subsequent years.

The AAAD Department has completed two additional steps in the overall Program Review process since the University’s January 2015 response to SACSCOC. In October 2015, the AAAD chair submitted a [response from the faculty](#) following their extensive review and consideration of the recommendations from the visiting team’s report. On October 14, 2015, the AAAD chair and representatives from the College of Arts and Sciences, Provost’s Office, and The Graduate School met to review the Department’s responses to the external review committee’s recommendations and its goals for the coming years. A summary of this [closure meeting discussion](#) indicated that the AAAD Department is continuing the academic strategic planning process initiated during the Program Review. The Department will also

consider future growth in enrollments and faculty, work with the College of Arts and Sciences' Office of Undergraduate Education on the development of an academic internship program for its majors, and explore the possibility of establishing a graduate program as recommended by the Program Review visiting team.

Consistency of Academic Program Reviews Across the University

As of 2012, the University requires all academic programs to participate in at least one of the following comprehensive academic review processes that drive continuous improvement: (1) the Program Review process sponsored by the Provost's Office, or (2) specialized accreditation reviews required for most professional programs.

Program Review

For over four decades, UNC-Chapel Hill's [Program Review](#) process has served as one of the strongest components of the University's overall efforts to ensure the quality of educational programs. Program Review, developed in accordance with the Council of Graduate School's standards, is overseen by the Provost's Office and coordinated by The Graduate School. It has been revised frequently through the years to increase both the rigor of the review and the value of the feedback to faculty.

As mentioned earlier, in 2012 the Program Review process was extended to include programs in academic units that conferred only undergraduate degrees, all within the College of Arts and Sciences. In addition to the AAAD Department, these programs included the Asian Studies Department and the Women's and Gender Studies Department. Undergraduate programs that are referred to as curricula (as opposed to departments) include: Archaeology; Contemporary European Studies; Global Studies (which added a master's program in 2014); Latin American Studies; and Peace, War, and Defense.

These programs have been integrated into the [Program Review schedule](#), beginning with the AAAD Department in 2014-15, and followed by the Curriculum in Archaeology, which is hosting the visit from its on-site review team in March 2016. All of these programs have already completed or are scheduled to complete the Program Review process by 2018.

For all departments and programs, the Program Review process occurs on an approximately eight- to nine-year cycle. Consistent with the process completed by the AAAD Department, each unit prepares a self-study that articulates its mission, objectives, and goals, and reports on an analysis of the following:

- **Curriculum:** A description of the relationship between the program requirements and the intended educational goals including: (1) content knowledge; (2) thinking, writing, and (if relevant) laboratory research skills that students should acquire; and (3) professional skills that students should demonstrate at the end of the program (e.g., teaching skills, presentation skills, etc.).
- **Faculty:** An evaluation of faculty performance in relation to the unit's goals for research,

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teaching, mentoring/advising, and participation in professional activities.

- **Students:** Evaluations of entry criteria, diversity, quality of advising, support for graduate students (if relevant), student learning outcomes assessment results, and post-graduate achievements.
- **Resources:** An assessment of the adequacy of leadership, administrative support, facilities and equipment, and institutional relationships.
- **Planning:** A 5- to 10-year plan for the program based on the self-study findings and a description of how the program assesses progress toward its stated goals.

All departments participating in Program Review follow the same procedures described for the AAAD Department, including an on-site visit from a review team composed of outside experts in the discipline and a UNC-Chapel Hill faculty member from a related discipline. The program faculty respond to the report from the visiting team and participate in a follow-up “closure meeting” between the program chair and representatives from the dean’s office, The Graduate School, and the Provost’s Office to identify needed improvements and address any concerns raised by the review.

Approximately four years after the formal Program Review, departments complete a Midpoint Review to encourage continuous improvement. Programs submit a follow-up report describing progress toward goals and addressing student learning outcomes assessment and evaluation rubrics, where appropriate, as well as any changes in the curriculum.

[Examples of two other Program Reviews](#) are provided to illustrate the thoroughness of the process and the focus on continuous improvement. First, documentation for the entire Program Review cycle — including the self-study, the external review team’s report, the department’s response, the closure meeting memorandum, and the Mid Point Review report — is provided for the Department of Physics. Second, the self-study submitted in February 2016 by the Department of Health Behavior in the Gillings School of Global Public Health is also provided here. It includes a discussion of changes made in the program in response to the last review and to many subsequent assessments undertaken internally, demonstrating the value of Program Review for promoting continuous improvement over time.

Specialized Accreditation Reviews of Professional Programs

Currently, [37 external agencies](#) [accredit professional programs at UNC-Chapel Hill](#). All of the professional schools at the University hold accreditation from external organizations at the school and/or program level, as do selected programs in the College of Arts and Sciences. These accrediting organizations set explicit standards for the curriculum, students, faculty, administration, research, professional practice, facilities, and other resources, and conduct comprehensive evaluations at regular intervals for reaccreditation. All require faculty to demonstrate that they assess program and learning outcomes to ensure that graduates are attaining expected competencies for practice and to inform

continuous program improvement. An example of the rigor of these standards and the extensive documentation that all programs prepare for these reviews is provided for the [Kenan-Flagler Business School](#), which was recently reaccredited by the Association to Advance Collegiate Schools of Business.

Many of the professional programs at UNC-Chapel Hill undergo both external accreditation reviews and the University's Program Review process. In 2014, for example, the Chair of the Department of Allied Health Sciences in the School of Medicine requested that all programs in that unit holding professional accreditation be included in Program Review because of the inherent value of both assessments. Within the College of Arts and Sciences, several programs subject to the Program Review process also maintain professional accreditation, including Clinical Psychology (the American Psychological Association), City and Regional Planning (the Planning Accreditation Board), and Exercise and Sport Science (the National Athletic Trainers Association).

Other Reviews to Ensure Compliance with Academic Program Policies and Procedures

As fully described in prior reports to SACSCOC, the University has implemented a number of new policies, procedures, and processes in recent years to protect the quality and integrity of its academic programs and ensure that the academic irregularities that occurred in the AAAD Department do not happen again. Policies regarding regular reviews of chairs, syllabi, independent study contracts and limits on enrollments are among these changes. The following section demonstrates that these changes have been codified and continue to be reviewed and monitored in the AAAD Department and across the University.

AAAD Reviews of Compliance with Academic Policies and Procedures

UNC-Chapel Hill's January 2015 response to SACSCOC summarized the many institutional and department-level changes in the Department of African, African American, and Diaspora Studies in recent years and described the University's commitment to confirm full implementation of these initiatives:

[A]s part of the University's ongoing efforts to institute policies and procedures 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 department 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.

Through the Offices of the Chancellor, the Provost, and the Dean of the College of Arts and Sciences, the University has continued to support and encourage Department Chair Eunice Sahle and the AAAD faculty during their implementation of new initiatives. As directed by the Chancellor, [the Provost requested that the AAAD Chair](#) prepare a report documenting the status of those initiatives and progress

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made in response to prior reviews.

On October 15, 2015, the Chair submitted this report, “[The Department of African, African American, and Diaspora Studies, Assessment from Spring 2012 to the Present \(Fall 2015\)](#).” The report documented the status of the following:

- Curriculum reforms and Program Review results.
- Adoption of [independent study contract](#) (2011) and syllabi collection.
- Monitoring teaching quality through student evaluations, peer review, and student learning outcomes assessment.
- Governance reforms — Faculty responsibility for the quality and integrity of the program through their service on departmental committees that review teaching schedules, audit courses, and approve independent study contracts.

Evidence that the AAAD Department had codified these and other changes was documented in the “[Policies and Procedures Notebook](#)” (2015) submitted to the Provost as part of the October 2015 assessment report. The Notebook contains relevant University, College of Arts and Sciences, and departmental policies, including those adopted and implemented since 2012. The Chair created the Notebook in 2012, updates it annually, and distributes it to Department faculty and staff. The Notebook sets out the following policies and guidance to department members concerning compliance:

- University policies on exams and grading.
- Requirements for syllabi and submission to the department.
- Process for approving faculty absences from class.
- Course evaluation requirements.
- Retention requirements for student work products.
- Faculty responsibilities for supervision of internships.
- Requirements for independent study arrangements, including prerequisites, standards for student work, contents of required contracts, and the approval process for contracts.
- Duties of AAAD staff members and faculty responsibility for their supervision and performance evaluation.

The Provost assigned senior members of his cabinet to evaluate the Chair’s assessment report and related materials from the prior reviews of the AAAD Department. In the [final report](#) he submitted to the Chancellor on December 10, 2015, the Provost summarized the findings, [feedback from senior staff](#), and his own assessments based on interactions with the AAAD faculty. The Provost acknowledged the

vast improvements implemented by the Chair and faculty in every aspect of the program, and noted in particular the strong governance structure that now supports shared faculty responsibility for program quality and integrity.

The College of Arts and Sciences' Dean's Office continues to oversee the AAAD Chair and the work of the Department. The Senior Associate Dean for Social Sciences and Global Programs reviews reports from the Department and the teaching, research, and other service and administrative work of the Department Chair annually, most recently in summer 2015. The Chair underwent post-tenure review in fall 2015 as part of the implementation of regular post-tenure reviews for all faculty members in the College of Arts and Sciences and at the University. The AAAD Department Chair's review can be examined [here](#).

As previously documented in the University's January 2015 response and confirmed by reviews and audits conducted by the College of Arts and Sciences and the Provost's Office since 2013, the AAAD Department continues to adhere strictly to the academic policies implemented by the University, including those related to independent study courses and course syllabi requirements. AAAD faculty submitted their syllabi in fall 2015 and spring 2016, as required, and the AAAD Department has retained copies of Department course syllabi for the past four years. The Department enrolled no students in independent study courses from fall 2013 through fall 2015, with the exception of three students involved in honors thesis coursework. Not once have the results of any of the course syllabus or independent study contract audits indicated that any AAAD Department faculty are out of compliance with the current University policies designed to guard against academic irregularities.

Consistent monitoring has provided evidence that the changes instituted in the AAAD Department since 2012 are codified within the Department and are regularly followed.

Consistency of Reviews of Compliance with Academic Program-Related Policies and Procedures Across the University

Compliance with other new policies and procedures implemented to protect the quality and integrity of academic programs are monitored through the application of reviews conducted by the schools and the Provost's Office.

Department Chair Performance Reviews

The University recognizes the department chair as a critical determinant of the quality of the academic program. The chair leads the department in the development of the annual course offerings based upon the curricular needs of the program, oversees the instructional assignments of faculty instructors and teaching assistants, and establishes expectations for regularly evaluating instruction and ongoing monitoring of the curriculum.

To ensure that departmental leadership functions to actively support the success of the academic

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program, the University requires all department chairs to undergo both a formal post-tenure review every five years and an annual review conducted by the dean's office of their respective schools.

Post-Tenure Review of Chairs. UNC-Chapel Hill's [Post-Tenure Review \(PTR\) Policy](#), established prior to 2000 and based on the [UNC System Board of Governors' policy](#), subjects each faculty member to post-tenure review no less frequently 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. In 2014, the UNC System's policy was strengthened through [new requirements](#), such as the development of five-year goals with milestones aligned with the faculty member's annual performance evaluations and [mandatory training](#) for deans and other participants in the review process.

The [Provost must certify](#) annually that all aspects of the post-tenure review process are in compliance with these policies and guidelines. The College of Arts and Sciences and the professional schools are required to have written policies and procedures describing expectations for their faculty and chairs regarding the post-tenure review process. These were updated in 2015 and are [published on the Provost's Office website](#).

However, prior to fiscal year 2012-13, department chairs in the College of Arts and Sciences did not undergo a post-tenure review during their term as chair. Chairs were exempted from this policy until one full fiscal year following the completion of their appointment. In 2012, the [College revised its policy](#) and removed this exemption for chairs. In addition, the UNC Board of Governors in April 2013 adopted [Regulation 700.6.1, Academic Integrity Regulations](#), which requires campuses to have criteria and processes to ensure the regular performance reviews of all department chairs, including post-tenure review.

In fiscal year 2012-13, the College began scheduling post-tenure reviews for all chairs to keep them on a five-year cycle. All of the 33 faculty serving as department chairs at that time were scheduled for review. Five chairs retired or resigned prior to their review dates. The [table provided here](#) lists the year the reviews were completed, or are scheduled to be completed, for the remaining 28 chairs. The College now has 35 department chairs (due to the addition of two new departments since 2012-13) who are subject to post-tenure review. All are now on a [consistent five-year schedule for post-tenure review](#).

[Sample evaluation materials](#) are provided as evidence that post-tenure reviews of department chairs are applied across the University, including within the professional schools.

Annual Reviews of Department Chairs. UNC-Chapel Hill's [faculty workload policy](#), implemented in 2014 in accordance with the [UNC System Board of Governors' policy](#), specifies that all faculty must be evaluated annually in relation to their assignments. Chairs are not exempt from this policy. Sample materials documenting [department chair annual reviews](#) are provided as evidence that these reviews are applied across all schools with departments.

The College of Arts and Sciences established additional procedures for the annual review of the

performance of chairs and of their departments as a whole. In addition to completing their own annual report as a faculty member, each chair prepares a summary of the department's accomplishments, challenges, and goals for the year; chairs also upload their course evaluations into an online review system. Beginning in 2012, the Senior Associate Deans review and sign off on the annual reports of all faculty and the chair's summary. In 2014-15, the annual report system for all faculty was updated to allow for both an electronic signoff by the chair, as well as an electronic signoff by the Senior Associate Dean. A sample department chair annual report and department summary are provided [here](#).

Audits of Syllabi, Independent Study Contracts, and Instructor Workloads

As described in detail in the University's prior responses to SACSCOC, the University implemented several new policies during 2012-13 to ensure that students receive appropriate content and quality instruction in each of their courses.

UNC-Chapel Hill's [Independent Study Policy](#) specifies that a completed and approved [Independent Study Learning Contract](#) must be submitted to the department or school 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. It is published on the University Registrar's website and was last updated in February 2014 with the addition of a sample learning contract.

In October 2012, the University's Faculty Council approved [guidelines for course syllabi](#). By the first day of class, instructors of record are expected to provide students with a syllabus and file a copy with the department or school. These syllabi are to be retained in the unit for at least four years so that they can be examined as needed to ensure the quality of course content and the amount of time and effort appropriate for the credit hours to be awarded.

While the dean of each school is responsible for ensuring compliance with independent study and syllabus policies, the Provost's Office [conducts an audit](#) each semester to review the consistency of these practices across all schools. The Office of Institutional Research and Assessment generates a random sample (typically 10%) of courses offered. The deans' offices collect syllabi and independent study contracts (as applicable) for the sampled courses and follow up with the department chair and/or instructor to resolve any situations in which a document is not immediately available from the instructor. The College of Arts and Sciences has extended this audit to incorporate a [review of the contents](#) of the syllabi and independent study contracts with feedback provided to the chair and instructor on how to improve the value of these documents for students. Recently the College implemented an electronic repository that facilitates the collection and review of these documents and provides reports that identify individual faculty compliance with these policies.

To review compliance with the policy specifying that an instructor can supervise independent study experiences for no more than two undergraduate students each semester, the Provost's Office analyzes reports of instructional workloads and enrollments across the schools each semester. The College of

Arts and Sciences conducts additional analyses to monitor the teaching loads of individual faculty in each department within the College of Arts and Sciences. Samples of these reports may be viewed [here](#).

Improving University Management of Policies and Procedures

The University recognizes that maintaining a culture where policies and procedures are systematically codified and accessible is particularly important for supporting academic program quality and integrity in a large, complex, decentralized institution.

At the time of the January 2015 report to SACSCOC, Chancellor Carol L. Folt had recently announced a [University-wide review of policies and procedures](#) as another way in which UNC-Chapel Hill could help prevent the recurrence of academic irregularities. In May 2015, she appointed the [Policy and Procedures Working Group](#) and charged it with reviewing and recommending improvements to the University's policy development and implementation processes. This group complemented the work of the [Ethics and Integrity Working Group](#), commissioned by the Chancellor to reinforce high-integrity behavior throughout the University. (The Ethics and Integrity Working Group is fully discussed in the response to [Principle Requirement I.1 Integrity](#).)

The Policy and Procedures Working Group, chaired by Dr. Todd Nicolet, Senior Associate Dean for Administration at the Gillings School of Global Public Health, included 16 faculty and staff [leaders from across the University](#). In addition, the University contracted services from the consultancy Parthenon-EY to support the group's efforts.

The Working Group conducted an audit of all University and unit-level policies and procedures, and assessed the current policy "ecosystem" at UNC-Chapel Hill by benchmarking against 10 similar institutions considered to have effective policy management processes. Consistent with these best practices, the Working Group developed a process for assessing policies that might need more frequent review, primarily because they are associated with or mitigate the greatest risk to the institution.

The Working Group applied this [risk framework](#) to three areas in which policies had been developed or revised following the discovery and termination of the academic irregularities in the AAAD Department: (1) policy governance in the College of Arts and Sciences; (2) the Office of the Registrar; and (3) coordination of undergraduate academic policies. While the primary purpose of this pilot review was to inform the design of a University policy system, the Parthenon-EY consultants also conducted a [preliminary assessment of selected policies](#) in these three target areas to determine how well existing University process controls were managing risk. Results indicated that compared to the benchmark institutions, the policies and process controls developed to prevent and detect further irregularities in undergraduate academic programs were strong. While the Working Group identified ways to make the processes more efficient, [the review did not identify any policy areas covered in the pilot assessment that needed immediate attention](#). More information on these findings is provided in the [final report](#) of the Working Group, submitted to the Chancellor on February 25, 2016.

As reported in the University's response to Principle Requirement 1.1 Integrity in January 2015, the Policy and Procedures Working Group and the Ethics and Integrity Working Group in February 2016 submitted a joint recommendation to the Chancellor for the creation of a Chief Integrity and Policy Officer. The Chancellor [responded to this recommendation](#) by appointing Dr. Todd Nicolet as interim Chief Integrity and Policy Officer to guide initiatives to enhance policy management at UNC-Chapel Hill.

Conclusion

In the years since the academic anomalies in the former Department of African and Afro-American Studies (AFAM), ceased in 2011, the University has taken strong, proactive measures to ensure that rigorous academic policies and procedures are implemented, codified, and reviewed for effectiveness in protecting the academic quality and integrity of its programs. The University requires comprehensive academic program reviews for all undergraduate, graduate, and professional degree programs. The results of the Department of African, African-American, and Diaspora Studies' (AAAD) 2014 external review of the AAAD Department and the 2015 follow-up report reinforced the conclusion that the courses and programs currently offered by the AAAD faculty meet the highest academic standards. In addition, other forms of review that have been implemented consistently throughout the College of Arts and Sciences and the professional schools, such as required evaluations of department chairs and audits of independent study contracts and syllabi, reduce the risk of academic irregularities occurring due to insufficient oversight.

With the multiple comprehensive processes now in place to evaluate all academic programs and to codify and monitor compliance with academic policies and procedures, the University is confident that the type of irregularities that previously went undetected in the former AFAM Department could not occur again — in the new AAAD Department or anywhere else in the University.

References

- [January 2015 Report, Core Requirement 2.7.2 Program Content](#)
- [2013-14 Undergraduate Bulletin — AAAD](#)
- [Letter From Boards of General and College of Arts and Sciences, Nov 2012](#)
- [Program Review at UNC-Chapel Hill, Oct 2015 — Requirements](#)
- [AAAD Self-Study Program Review Aug 2014](#)
- [Program Review at UNC-Chapel Hill, Oct 2015](#)
- [AAAD Final Report External Review, Oct 2014](#)
- [AAAD Final Report External Review, Oct 2014 — Quote, Page 2](#)
- [AAAD Final Report External Review, Oct 2014 — Quote, Page 3](#)
- [AAAD Final Report External Review, Oct 2014 — Suggestions](#)
- [2015-2016 Undergraduate Bulletin — AAAD Language Courses List](#)
- [Letter from James Thompson, Feb 17, 2015](#)

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Program Content

2015-16 Undergraduate Bulletin — AAAD

AAAD Course 395 Syllabus

AAAD Course 487 Syllabus

AAAD Course 395 Announcement

AAAD Memorandum to Office of the Dean of Graduate School

Closure Meeting for Program Review Process Memo, Oct 2015

Program Review Schedule

Program Review

Undergraduate and Merged Program Reviews, Oct 7, 2015

Program Reviews Examples

Agencies that Currently Accredit the University of North Carolina at Chapel Hill

Kenan-Flagler Business School

Provost Email to AAAD Chair About Review, Sep 2015

The Department of African, African American, and Diaspora Studies, Assessment from Spring 2012 to the Present (Fall 2015)

AAAD Department Internal Assessment 2012-2015—Independent Studies Contract

AAAD 2015 Policies and Procedures Notebook

Memo to the Chancellor, Review of the Dept of AAAD, Dec 2015

Provost's Senior Staff Assessment of African, African American, and Diaspora Studies Reviews, 2012 to 2015

AAAD Department Chair's Review

CAS Deans Office Oversight of Department Chairs Annual Report

Report of the Post-Tenure Review Committee on Sahle

UNC-Chapel Hill Post-Tenure Review Policy

UNC Board of Governors' Policy - Performance Review of Tenured Faculty

UNC General Administration Post-Tenure Review Policy, Update Memo for FY2015-16

Post-Tenure Review Training

Post-Tenure Review Certification and GA Survey Summary

School Post-Tenure Review Policies

Post Tenure Review Memo from Provost

College of Arts and Sciences Policies for Chair Review

UNC Board of Governors' Policy - Academic Integrity Regulations

College of Arts & Sciences Department Chair Post-Tenure Review List 2012-13, Redacted

College of Arts & Sciences Department Chair Post-Tenure Review List 2015-16, Redacted

Samples of Post-Tenure Reviews and Annual Reviews

UNC-Chapel Hill Faculty Workload Policy, Oct 2015

UNC Board of Governors Policy - System Workload Policy

Department Chair Annual Reviews

University Policy Memorandum #30 - Independent Study Policy

College of Arts & Sciences Independent Study Learning Contract
UNC-Chapel Hill Registrar's Website - List of University Policy Memorandums
UNC-Chapel Hill Faculty Council Approved Guidelines for Course Syllabus
Provost Course Audit Samples
CAS Course Review
College of Arts and Sciences Instructional Workload Analysis
Instructional Workload Audit
The University Forms Working Groups
Policy and Procedures Working Group Report and Recommendations — Charge
Ethics and Integrity Report and Recommendations — Charge
Principle Requirement 1.1 Integrity
Policy and Procedures Working Group Report and Recommendations — Membership
Policy and Procedures Working Group Report and Recommendations — Topic Risk Framework
Policy and Procedures Report - Pilot Area Findings and Recommendations
Policy and Procedures Working Group — Conclusion
Policy and Procedures Working Group Report and Recommendations
Message to Carolina Community — Progress of Working Groups

COMPREHENSIVE STANDARDS

3.2.11 Control of intercollegiate athletics

3.4.9 Academic support services

3.7.4 Academic freedom

3.7.5 Faculty role in governance

Comprehensive Standard 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, its intercollegiate athletics.

SACSCOC Request for Information

In the July 1, 2015, letter from SACSCOC, the University of North Carolina at Chapel Hill was asked to address the following specific requests for information regarding its compliance with CS 3.2.11 Control of Intercollegiate Athletics:

While the institution has made significant progress, there is insufficient evidence to validate the effectiveness of the newly-implemented Student-Athlete Academic Initiative Working Group that reports to the Chancellor. The institution should provide evidence that gives examples of the new initiatives originating with the Student-Athlete Academic Initiative Working Group and measures of their success.

Summary of University's Response

An institution's chief executive officer has ultimate responsibility for all aspects of its intercollegiate athletics programs, the most important of which is to ensure a quality academic experience for student-athletes. This response provides evidence of the effectiveness of the Student-Athlete Academic Initiative Working Group appointed by Chancellor Carol L. Folt in 2013 to document and assess existing processes and develop new initiatives to further support the academic success of student-athletes.

- Chancellor Folt charged the Student-Athlete Academic Initiative Working Group with ensuring that the University had in place a rigorous and transparent set of processes to promote academic success for student-athletes from the time they are recruited and admitted to when they leave Chapel Hill.
- Between its formation in 2013 and the conclusion of its work in 2015, the Student-Athlete Academic Initiative Working Group documented and assessed a comprehensive list of policies and procedures across 21 academic processes, revised some of those processes, and developed new initiatives ranging from preparing a communication to prospective student-athletes about the academic expectations at UNC-Chapel Hill to improving the process by which former student-athletes may return to the University to complete their degrees.
- Consistent with the Chancellor's goal to promote transparency, the Working Group documented these processes and measures of success for the new initiatives through a dedicated website, Academic Processes for Student-Athletes (<http://apsa.unc.edu>), and

announced those findings to the campus community.

- After the Working Group completed its charge, the Chancellor appointed a process review group that would act in the spirit of continuous improvement to review these academic processes for student-athletes on an ongoing basis.

Actions

Purpose and Goals of the Student-Athlete Academic Initiative Working Group

As part of her vision to promote an educational environment that fosters the success of student-athletes at UNC-Chapel Hill, Chancellor Folt appointed the Student-Athlete Academic Initiative Working Group in fall 2013, shortly after she and Executive Vice Chancellor and Provost James W. Dean, Jr. began their service in those roles on July 1, 2013. The Chancellor believed that the University needed to take decisive new action to promote academic integrity, but also realized that it was imperative to first have a clear understanding of the current state of all academic processes that affect student-athletes.

Director of Athletics Lawrence (Bubba) Cunningham (who was hired in November 2011) co-chaired the Working Group and brought together a 10-person team to comprehensively document and assess all academic processes that affect student-athletes from the time they are recruited until after they graduate.

The Working Group was organized in fall 2013. Multiple internal and external reviews and investigations of academic irregularities in the former Department of African and Afro-American Studies, as well as the NCAA investigation in 2010 that resulted in sanctions issued in March 2012, had already taken place. The Working Group began meeting several months before the University commissioned Kenneth Wainstein and the law firm of Cadwalader, Wickersham & Taft to conduct the independent investigation that concluded with a final report on October 22, 2014.

Chancellor Folt charged the Working Group with: (1) comprehensively documenting and assessing all academic processes that affect student-athletes from the time they are recruited until after they graduate; (2) promoting transparency in the communication of the policies and processes to the campus and the public; (3) making any changes needed to strengthen these processes to support the success of student-athletes; and (4) reviewing recommendations from the previous internal and external reviews conducted or commissioned by the University, which assessed the intersection of athletics and academics.

This work complemented the process improvement initiatives that were already under way in the Office of Undergraduate Admissions and the Academic Support Program for Student-Athletes (ASPSA):

- In 2012, the Office of Undergraduate Admissions worked with the University's Odum Institute for Research in Social Science to develop a formula based on the admissions credentials and actual academic performance of previously enrolled special-talent student-

athletes to predict the first-year grade point average of prospective student-athletes. Use of this predictive model led to a reduction in the number of enrolling student-athletes who required additional faculty review due to predicted grade point averages of less than 2.3 from 30 in 2009 to 9 in 2014 and 2015. Admissions reports for enrolling student-athletes are provided for [2013](#), [2014](#), and [2015](#).

- In 2013, the [Academic Support Program for Student-Athletes](#) began reporting directly to Provost Dean, and a new Director and Assistant Provost, Dr. Michelle Brown, was hired from Florida Atlantic University. The ASPSA had previously reported to an Associate Dean in the College of Arts and Sciences, a position three levels below the Provost. Evidence of the effectiveness of this change in oversight is provided in the response to [Comprehensive Standard 3.4.9 Academic Support Services](#).

Implementation of Academic Process Documentation and Assessment Activities

Led by Provost Dean and Athletics Director Cunningham, the group consisted of a 10-person team of faculty and administrators, including:

- James W. Dean, Jr., Executive Vice Chancellor and Provost
- Lawrence (Bubba) Cunningham, Athletics Director
- Anna Agbe-Davies, Assistant Professor, Anthropology
- Lissa Broome, Distinguished Professor, School of Law; Faculty Athletics Representative
- Michelle Brown, Assistant Provost and Director of the Academic Support Program for Student-Athletes
- Deborah Clarke, Office of the Executive Vice Chancellor and Provost
- Stephen Farmer, Vice Provost, Enrollment and Undergraduate Admissions
- Vince Ille, Senior Associate Athletic Director
- James Johnson, Distinguished Professor, Kenan-Flagler Business School
- Andrew Perrin, Professor, Sociology

The Working Group 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.

The Working Group developed a detailed process map to capture all academic processes related to student-athletes, from recruitment to beyond graduation. A group member researched existing University policies, procedures, and practices by interviewing coaches, faculty, administrators, and academic support staff from various departments, including the primary owner of each process. For example, Office of Undergraduate Admissions staff members were interviewed to identify the academic processes in that area and any gaps or areas of concern. The Working Group then reviewed these findings, raised additional questions, and identified opportunities for improvements.

For each process, the Working Group identified recommendations from previous internal and external reports related to that process and reported on the University's response to each recommendation.

Throughout this review, the Working Group queried peer institutions for benchmarking purposes and to find examples of best practices in academic processes for student-athletes. Topics included orientation, course selection, assessments and learning disability support services, excused absences and make-up exam policies, faculty involvement, and the role of faculty athletics committees.

In keeping with the Chancellor's charge, the Working Group promoted transparency about its progress throughout the two years of its work. Members met in [open meetings](#) at least once per month between November 2013 and February 2015. They provided interim updates to the [Chancellor](#) and the [Board of Trustees](#), as well as to campus committees including the Faculty Executive Committee, the FAC, the ASPSA Advisory Committee, and the Student-Athlete Advisory Council. The Provost updated the broader University community and public about its activities through campus emails and postings to the [Carolina Commitment website](#). Carolina Commitment is the University's primary communications tool for providing information to the public about the campus response to the irregularities that ended in 2011, the status of the numerous reforms and initiatives, and its communications with SACSCOC.

In addition to these formal updates, Chancellor Folt reviewed the Working Group's progress through her regular ongoing individual meetings with the Executive Vice Chancellor and Provost, the Athletics Director, and the Faculty Athletics Representative (FAR), and through other meetings she regularly attends in which the group's work was discussed, such as the Chancellor's Cabinet and the Faculty Athletics Committee (FAC).

Outcomes and Evidence of Effectiveness

Background

In the [November 13, 2014 letter from SACSCOC](#), UNC-Chapel Hill was asked to document its compliance with Comprehensive Standard 3.2.11 by "demonstrating how the Chancellor of UNC-Chapel Hill has responsibility for and exercises appropriate administrative and fiscal control over the institution's intercollegiate athletics programs." The University's extensive [January 12, 2015 response](#) identified the Student-Athlete Academic Initiative Working Group as one of several major new initiatives under Chancellor Folt's leadership.

In the description of the Working Group's formation and activities to date, the response indicated that it was in the process of "reviewing 21 academic processes including recruitment, admissions, financial aid, and advising." At the time of the response, reviews of 19 of the 21 processes had been completed. The response indicated that the Working Group would continue meeting in the spring of 2015 and that its final report would be made publicly available through the Carolina Commitment website. Moreover, the response also indicated that the Working Group was reviewing "recommendations from the previous internal and external reviews and investigations conducted or commissioned by the University, which assessed the intersection of athletics and academics" and that these responses would also be shared on the Carolina Commitment website.

We are pleased to have the opportunity to update SACSCOC on the Working Group's accomplishments which include: (a) documentation and publication of the academic processes for student-athletes on the Academic Processes for Student-Athletes website; (b) cataloging the responses to recommendations relating to the academic processes affecting student-athletes made in prior internal and external reviews and publication of those recommendations and responses organized by academic process on the same website; (c) creation of a Process Review Group to ensure that there will be a system for ongoing review and improvement of the academic processes; (d) coordination and cooperation among different campus groups that interact with student-athletes on academic issues; and (e) several specific new initiatives originating with the Working Group and measures of their success.

Documentation and Publication of a Set of Academic Processes for Student-Athletes

The Working Group fulfilled the Chancellor's charge of documenting and assessing the academic

COMPREHENSIVE STANDARDS 3.2.11

Control of Intercollegiate Athletics

processes affecting student-athletes at UNC-Chapel Hill. These processes were organized within 21 discrete categories covering the entire experience of student-athletes from recruitment through degree completion, and included processes for ongoing assessments of student-athletes' success and their satisfaction with the education they received.

The group presented its report to Chancellor Folt in the form of a comprehensive website that documents all academic processes related to student-athletes at UNC-Chapel Hill. The website was organized for easy access to detailed procedures within each of the 21 processes that the Working Group identified. These processes are listed below with links to the specific web pages.

[Note: The links in this table include both "live" links to the website and pdfs. A connection to the internet is required to view the live links which are followed by . (Information has been provided to help navigate the APSA website.) To view each page without an internet connection click on the pdf icon . Since the website is updated over time, the pdfs reflect a capture of the site as of the timestamp shown at the bottom of the pdf.]

Academic Processes for Student-Athletes
About
0.0 Guiding Principles
1.0 Recruiting
2.0 Admissions
3.0 Financial Aid
4.0 Orientation and Summer Programs
5.0 Enrollment and Advising
6.0 Registration
7.0 Academic Support for Student-Athletes
8.0 Faculty Relations and Governance
9.0 Class Attendance and Travel
10.0 Resources for Student-Athletes with Disabilities
11.0 Eligibility and Compliance
12.0 Academic Performance Monitoring
13.0 Communications and Recognition
14.0 Budgeting
15.0 Facility Use and Programming
16.0 Housing and Residential Education
17.0 Honor Court
18.0 Student-Athlete Development
19.0 Supporting Non-Participant Student-Athletes
20.0 Focus Groups and Surveys
21.0 Ongoing Review and Improvement of Processes

Cataloging the Responses to Recommendations Relating to Academic Processes Affecting Student-Athletes from Prior Internal and External Reviews

Since the University first learned of the academic irregularities, it has engaged in multiple internal and external reviews that have resulted in changes in admissions and preparedness, academic excellence and accountability, course integrity, risk management, advising and support, and athletics programs. Part of the Working Group's charge was to assess the numerous academic reforms made since 2011 and to make any changes that would further improve academic processes for student-athletes.

Review and Response to Recommendations from Prior Reports. The Working Group reviewed and responded to more than 70 recommendations resulting from nine reports about athletics and academics at UNC-Chapel Hill that had been published during the previous four years. The Working Group's website catalogs the recommendations and responses related to each of the 21 processes under the tab, "[Report Recommendations](#)."

Review of Reforms Initiated by Other Campus Groups. The Working Group examined many academic reforms that have taken place at UNC-Chapel Hill since the irregularities were discovered in 2011. These reforms are listed below.

- Improved evidence-based admission standards for student-athletes ([Process 2.5](#))
- Required all student-athletes to meet with an academic advisor at least once per semester ([Process 5.0, 5.1](#))
- Changed the organizational structure for the Academic Support Program for Student-Athletes, which now reports directly to the Executive Vice Chancellor and Provost ([Process 7.1](#))
- Established individualized academic planning for student-athletes with the implementation of the My Academic Plan program ([Process 7.6](#))
- Restructured oversight and review of academic departments
- Implemented a new policy for independent study courses and course numbering ([Report Recommendations - Independent Study Courses](#))

Creation of a Process Review Group to Ensure a System for Ongoing Review and Improvement of Academic Processes for Student-Athletes

Although the Working Group finished documenting the academic processes related to student-athletes, it is essential to have a system in place that provides for ongoing review and improvement of these

processes. In the spirit of continuous improvement, processes can always be improved and may need to be modified to respond to changes in the University's academic policies made through the University's governance structure. Accordingly, upon the conclusion of the Working Group's work in the fall of 2015, the Chancellor appointed the Process Review Group as a standing committee of the University. This committee of University leaders, faculty, and students—with the guidance of the Provost and the Athletics Director—continues to monitor, review, assess, document, and recommend improvements to academic processes for student-athletes. The Process Review Group is the custodian of the student-athlete academic process documentation and will publish updates on the Academic Processes for Student-Athletes website. The Process Review Group is using project management software to track issues and assist it in coordinating with other groups.

The Process Review Group met on December 9, 2015, with three additional meetings during the spring of 2016. The group will meet at least two times each semester, with the goal of revisiting all 21 processes over a two-year period, beginning with Processes 1-4 in the spring of 2016. The Process Review Group is working closely with the FAC and will provide regular updates to that committee, the Chancellor, the Faculty Executive Committee, and the Department of Athletics. (Additional information is available in [Process 21.0.](#))

Coordination, Communication, and Cooperation Among Different Campus Units that Interact with Student-Athletes on Academic Issues

One outgrowth of the Working Group was the opportunity for various units on campus that interact with student-athletes to work together, improve lines of communication, and coordinate academic activities that affect student-athletes. Many of the Working Group's specific initiatives described below evidence these enhanced levels of communication, coordination, and cooperation.

A recent example of this increased coordination and cooperation occurred when we learned that UNC-Chapel Hill would be playing in the ACC Football Championship in Charlotte, NC on Saturday, December 5, 2015, the last day of the final exam period. Senior Associate Dean for Undergraduate Education Abigail Panter convened over a dozen administrators and staff across campus representing football, the band, the spirit groups (cheerleaders, dance team, and mascot), academics, ASPSA, the Academic Advising Program, the FAR, the FAC chair, athletics, and others on November 24, 2015. After discussion of various options, Dean Panter accepted the group's suggestion that the most feasible option for students who needed to miss exams was to administer make-up exams in Chapel Hill, providing proctored options for faculty to use on the reading day in the middle of the exam period and the Saturday following the completion of exams. Proctored exam locations were provided by Accessibility Services, the Kenan-Flagler Business School, and the ASPSA. In addition, students and professors were permitted (as stipulated under the Final Examinations Policy included in the *Undergraduate Bulletin*) to work out their own arrangements for the time and place of the make-up exam. [Dean Panter and the FAC Chair Joy Renner wrote a joint letter](#)

that was attached to the exam rescheduling form explaining the options for make-ups to faculty members. There were 166 exams that had to be rescheduled, affecting 149 students. In one case a faculty member requested and received an additional option, which was a proctored exam on the Sunday following the championship game. Other students not involved with the championship game were also able to take advantage of these make-up options, when they sought and received an exam excuse issued by an appropriate dean.

New Initiatives Originating From the Working Group and Measures of Their Success

From its extensive review over the last two years, the Working Group determined that most of the current academic processes for student-athletes at UNC-Chapel Hill are reasonable and sound, as detailed in the discussion of each process on the Working Group's website. In some cases, however, the Working Group implemented changes, which are summarized below along with measures of their success and links to more complete details. The University took these proactive measures because it wanted to hold itself to the highest possible standards for integrity in the administration of its academic processes.

Initiative #1: Guidelines for Effective Communication Between Faculty, Academic Counselors, and Coaches

- **Rationale:** Academic counselors and coaches were uncertain about the circumstances in which contact with faculty on behalf of a student-athlete was appropriate.
- **Objectives:** To establish a set of [guidelines](#) and provide information to faculty, academic counselors, and coaches about appropriate contacts with each other, as well as provide guidelines for communication between academic counselors and student-athletes.
- **Measures of Success:**
 - Process 7.4 provides clearly articulated [guiding principles](#) for communication between various groups regarding a student-athlete's academic performance. Groups include:
 - Faculty and ASPSA staff
 - Faculty and coaches
 - ASPSA staff and student-athletes
 - These guidelines were added to the ASPSA Policies and Procedures Manual in August 2015. They were discussed in ASPSA staff meetings as they were being developed and reviewed upon their adoption along with other new policies at ASPSA staff meetings. In addition, every new full-time staff member hired since August 2015 reviews these policies with the ASPSA Director during orientation and

onboarding.

- These guiding principles were distributed and discussed at a joint meeting of the head coaches and the FAC on February 25, 2016. In addition, the guiding principles were distributed by email to all coaches and the head coaches agreed to discuss them with their coaching staffs. The guiding principles were also distributed to the Athletics Department administrator who conducts orientation for new coaches and will be a part of the information shared with new coaches at their orientation.
- **Additional Information:** See [Process 7.4](#)

Initiative #2: Revising Travel and Attendance Policies and Procedures

- **Rationale:** The application of the Athletics Department’s stated policy regarding how to count missed class days or partial days because of competition was not clear. There was no procedure to consult or to provide information about exceptions to that policy from an academic perspective. Travel letters were not standard across teams, including whether they provided information about the specific time on a given day that the student should be deemed excused from academic obligations because of team travel.
- **Objectives:** To clarify existing travel and attendance policies, to make approval processes more efficient and effective, and to codify procedures for monitoring exceptions.
- **Measures of Success:**
 - A proposal to revise the University’s [Class Attendance Policy](#) published in the *Undergraduate Bulletin* is under consideration by the Faculty Council’s Educational Policy Committee during the 2015-16 academic year. A key element of the proposed change is to clarify that opportunities to make up tests and other work missed due to an excused absence for religious reasons should also apply to any absence excused for authorized University activities or other valid reasons as determined by course instructors.
 - The [travel letter](#) issued by ASPSA for student-athletes to give to faculty members at the beginning of the semester that details their absences for team travel to competitions now includes a form that instructors sign to acknowledge receipt of the letter. Student-athletes must return the signed letter to their ASPSA Counselor.
 - The format of the travel form submitted by each team to the Athletics Department was standardized for all team travel to competitions.
 - A new procedure outlined in [Process 9.2](#) requires an annual review of missed class times for each team by the Athletics Department, the ASPSA Director, and the FAR. In addition, the Athletics Director must consult with the ASPSA Director

and the FAR in considering exceptions to its attendance policy (i.e., no more than seven missed class days per semester for regular season competition) and the Athletics Department's rule prohibiting regular season competition during the final examination period.

- The Athletics Director, ASPSA Director, the FAR, and other Athletics Department staff met on November 19, 2015, and January 5, 2016, to review the 2014-15 regular season missed classes, to discuss any anticipated exceptions to the policy about seven missed class days per semester for the 2015-16 academic year, and to evaluate any regular season contests scheduled during the final exam period. The group scheduled an annual meeting to review these items in August of each year. The group concluded that the opportunity to meet and review provided important input to the Athletics Department about missed classes for athletics competition from the academic perspective presented by the FAR and the ASPSA Director.
- **Additional Information:** See Processes [9.1](#) and [9.2](#)

Initiative #3: Implementation of New Proctoring Policy for Make-Up Examinations

- **Rationale:** There was no formal policy providing faculty options for addressing make-up exams during the semester when student-athletes missed scheduled exams because of athletic travel.
- **Objectives:** To provide a proctoring policy that identifies appropriate resources for proctoring make-up exams for student-athletes and to implement a policy and standard set of procedures that ensures the integrity of the process.
- **Measures of Success:**
 - The Working Group reviewed the proctoring policies from nine institutions in the Atlantic Coast Conference (ACC) and a few non-ACC institutions. Of the nine ACC institutions surveyed, 55% had a policy that permitted staff members from academic support units for student-athletes to proctor make-up exams. In addition, the Working Group identified other UNC-Chapel Hill partners that could provide exam proctoring for make-up exams, including Accessibility Resources and Services and advisors within the College of Arts and Sciences.
 - Faculty were offered opportunities to provide input through discussions within the Working Group, the ASPSA Advisory Committee, and the FAC.
 - Incorporating this feedback, the Working Group developed guiding principles and a [policy](#) was adopted in September 2014. One example of critical feedback incorporated into the policy was the faculty request that language summarizing the

key guiding principles be included in the travel letters that student-athletes give their instructors when they must miss class because of competition.

- ASPSA's new website includes a page that [advises instructors of this policy](#), including approved alternatives and resources for proctoring rescheduled exams.

Instructors who elect to have an ASPSA staff member assist with the proctoring complete a form required for preapproval by the Director of the ASPSA. At the time of the exam, the proctor and student-athlete must sign to affirm their compliance with the UNC-Chapel Hill Honor Code.

- Since fall 2014 (as of January 28, 2016), ASPSA has coordinated 52 proctored exams: 45 by ASPSA counselors and 7 by administrators at other institutions. Thirty-three of the proctored exams took place at another campus due to away competitions. In turn, ASPSA staff members proctored 5 exams for student-athletes from visiting institutions.
- Faculty provided ASPSA with feedback indicating that they appreciated having a better understanding of the policy and the options they have for rescheduling exams.

- **Additional Information:** See [Process 9.5](#)

Initiative #4: Increasing Communication and Coordination in Certifying Student-Athlete Eligibility

- **Rationale:** Numerous offices are involved in various aspects of certifying student-athletes' eligibility to continue as University students and their eligibility to compete according to NCAA rules. These groups must communicate with one another so that they are familiar with new developments and challenges that arise.
- **Objectives:** To increase the frequency of communication and improve coordination among the various offices and faculty involved in the process of certifying student-athlete eligibility.
- **Measures of Success:**
 - Since fall 2014, the FAR has convened faculty members and representatives from the Office of the University Registrar, the Department of Athletics Compliance Office, and the Academic Support Program for Student-Athletes (ASPSA) to discuss the student-athlete eligibility certification process. The group is informally known as CARE (Compliance, Academics, Registrar, and Engagement). [Topics](#) cover certification and schedule audit timelines for each team/counselor, modifications to curriculum and degree requirements, changes to NCAA eligibility legislation and other NCAA rules, and related issues. The frequency of these [meetings](#) (every two weeks during the 2014-15 academic year; monthly during the 2015-16 academic

year) has enhanced participants' understanding of their roles and responsibilities in the eligibility process.

- For instance, at the December 2015 meeting, the timing of appeals of UNC-Chapel Hill eligibility decisions was discussed, including the potential impact on athletics certification and eligibility. The elements needed for a student recovery plan for a student to regain his or her University eligibility were discussed at the October 2015 meeting. The [minutes from the CARE meetings](#) are provided here as evidence.
- **Additional Information:** See Processes [11.6](#) and [11.7](#)

Initiative #5: Priority Registration for Student-Athletes

- **Rationale:** Student-athletes are among several groups of students who often have difficulty registering for courses that they need to meet degree requirements. Student-athletes need to try to schedule classes at times that do not conflict with their practice and competition schedules.
- **Objective:** To enable student-athletes to be among the first to register in future semesters to improve their chances of getting into the courses they need to meet degree requirements.
- **Measures of Success:**
 - The Priority Registration Advisory Committee (PRAC) streamlined [the application procedure](#) for student-athletes and other groups whose priority registration had been approved in prior semesters. This eliminated the need to resubmit the proposal for priority registration to PRAC each semester unless there was some exception to ASPSA's priority registration request. Thus, ASPSA only has to make a formal request for approval one time per year instead of each semester, although the names of the student-athletes affected are submitted each semester.
 - A proposal pending before the Faculty Council's [Educational Policy Committee](#) would extend priority registration to incoming student-athletes registering for fall semester classes during the summer prior to their matriculation to enable them to avoid conflicts with practice and competition and enroll in appropriate foundational courses.
- **Additional Information:** See [Process 6.2](#)

Initiative #6: Coordinating Services to Support Student-Athletes' Career Choices

- **Rationale:** There is a University Career Services office on campus and additional career

support provided to student-athletes through the Student-Athlete Development staff in the Department of Athletics. These groups, with additional coordination, could provide more comprehensive and accessible support for student-athletes.

- **Objectives:** To increase access to, and enhance the value of, career development services for student-athletes.
- **Measures of Success:**
 - The Academic Advising Program in the College of Arts and Sciences, University Career Services in Student Affairs, ASPSA in the Office of the Provost, and the Student-Athlete Development Staff in the Department of Athletics met in the spring of 2015 to identify additional ways to assist student-athletes in major and career exploration, and to understand how and when student-athletes are exposed to major and career options.
 - To increase access, University Career Services began providing some [programming and services](#) at the Loudermilk Center for Excellence, where student-athletes visit frequently for tutoring and conditioning and where the ASPSA and the Department of Athletics Student-Athlete Development staff are housed. The University Career Services programs offered at Loudermilk are open to all students. Much of the programming offered at Loudermilk is in the evening so that it will be less likely to conflict with practice for student-athletes.
 - Through [emails](#) and social media, the Department of Athletics Student-Athlete Development staff has helped ensure that student-athletes are aware of the various resources available through University Career Services.
- **Additional Information:** See [Process 18.7](#)

Initiative #7: Improve Process by Which Returning Student-Athletes May Complete Their UNC-Chapel Hill Degrees

- **Rationale:** Many more former student-athletes might return to campus to complete their UNC-Chapel Hill degrees if the re-entry process and support services were more tailored to the needs of adults.
- **Objectives:** To encourage all student-athletes to graduate by simplifying the re-entry process and making resources more accessible to support their success.
- **Measures of Success:**
 - UNC-Chapel Hill's Department of Athletics enhanced and formalized its commitment to student-athletes' degree completion with the creation of [Complete Carolina](#) in fall 2014. Complete Carolina provides financial support for degree

completion, academic advising, and career counseling to qualifying student-athletes who wish to return to the University.

- Staff in offices outside of the Athletics Department also provide considerable support for Complete Carolina and work together to coordinate services. These units include the Office of Undergraduate Admissions, the Office of Scholarships and Student Aid, the Office of Undergraduate Education within the College of Arts and Sciences (which includes the Academic Advising Program and the Office of Retention), ASPSA in the Provost's Office, and the Dean of Students Office and the Office of Student Conduct – both in Student Affairs.
- The program officially began in fall 2015, although several former student-athletes enrolled in summer 2015, with one graduating at the end of the summer session. Eight former student-athletes enrolled through Complete Carolina for fall 2015 and 18 enrolled through the program in the spring 2016 semester.
- **Additional Information:** See [Process 19.4](#)

Initiative #8: Communications with Prospective Student-Athletes

- **Rationale:** To provide a common document that could be used by coaches and others in contact with prospective student-athletes to relay advice about preparing for an academically rigorous institution like UNC-Chapel Hill, assuming that the greater the preparation and performance in high school, the more likely the prospective student-athlete is to be academically successful on a campus like UNC-Chapel Hill.
- **Objectives:** To better communicate UNC-Chapel Hill's academic requirements and expectations, including new NCAA eligibility standards, to prospective student-athletes.
- **Measures of Success:**
 - The Working Group collaborated with the Office of Undergraduate Admissions to create a recruiting and admissions document for middle school and early high school students who plan to attend college and compete at the intercollegiate level titled "[Getting Ready for UNC.](#)"
 - Hard copies of "Getting Ready for UNC" were printed and distributed to those having contact with prospective student-athletes, including admissions officers and staff in the Academic Support Program for student-athletes, and coaches.
 - The brochure is published on the [Admissions Office website](#).
 - Posters based on the brochure were produced and distributed to middle and high school coaches and guidance counselors to display in their offices or locker rooms.

- **Additional Information:** See Processes [1.4](#) and [2.1.1](#)

Initiative #9: Book Scholarship Process

- **Rationale:** To ensure that student-athletes whose scholarships include the price of books receive required course materials as soon as possible at the beginning of the semester and that the process for returning books for those who drop a class is clear, preventing the student-athletes from being charged for books they fail to return.
- **Objectives:** To improve the accuracy and efficiency of the book scholarship process for student-athletes.
- **Measures of Success:**
 - The Working Group convened a cross-functional group to discuss the administration of book scholarships. The group examined the process and suggested changes to improve the accuracy and efficiency of purchasing and returning required books for those receiving a book scholarship.
 - Superfluous forms have been eliminated, reports have been created to ensure timeliness and accuracy, and communication between the Registrar's Office, the ASPSA, the Department of Athletics, the Office of Scholarships and Student Aid, the Cashier's Office, and the UNC Student Stores has improved.
 - The [new process](#) saves time for the [Department of Athletics Compliance function](#) and for student-athletes who were previously required to obtain signatures from Compliance or ASPSA prior to purchasing their books.
- **Additional Information:** See [Process 3.9](#)

Initiative #10: Expanding Access to Support Services for Students on Academic Probation

- **Rationale:** Some academic support services designed to help all students on academic probation return to good standing are offered at hours that make it difficult for student-athletes to take advantage of these resources.
- **Objective:** To expand student-athletes' access to [Bounce Back](#) workshops offered to all students on academic probation by adding evening and weekend sessions.
- **Measures of Success:**
 - Student-athletes now have more opportunities to participate in Bounce Back, a voluntary workshop offered by the Counseling Center on resiliency and success strategies for students on academic probation. In spring 2015, one section of

Bounce Back was added on Sundays and a second section on Tuesday evenings, both open to all students. Seven student-athletes participated in those sessions. In fall 2015, another session was offered on Monday evenings, although no current student-athletes registered for that section.

- **Additional Information:** See [Process 11.0](#)

Initiative #1 I: Expanding Access to Courses that Enhance Knowledge and Skills for Academic Success

- **Rationale:** Previously, only one or two sections of the course “Navigating the Research University” were offered each year, and only during the summer. Many students, including student-athletes, were unable to take advantage of this experience due to limited scheduling.
- **Objectives:** To offer additional fall and spring semester sections of [EDUC 130](#), “[Navigating the Research University](#),” designed to enhance students’ academic success skills.
- **Measures of Success:**
 - Student-athletes now have more opportunities to take EDUC 130, “Navigating the Research University,” a one-credit-hour course established in 2009 by the Office of Undergraduate Retention to provide students with the knowledge and skills they need to succeed at a research university. Students consider what it means to have a liberal arts education and learn about motivation, resiliency, and self-advocacy. They reflect on their current work toward academic success and their path to graduation. This course was formerly offered only during one of the summer sessions. Beginning in the spring 2015 semester multiple sections were held during the regular academic year, benefiting student-athletes as well as other students. The impact of making additional sections available can be seen in increases in the enrollment in those sections.

Semester	# of Sections	# of Enrolled Student-Athletes
Fall 2014	0	0
Spring 2015	8	8
Summer I 2015	2	2
Summer II 2015	3	6
Fall 2015	10	13

- **Additional Information:** See [Process 11.3.2](#)

Initiative #12: Expand Access to Leadership Training Courses

- **Rationale:** Student-athletes need additional opportunities to participate in leadership training activities available to other students, complementing the training specifically for student-athletes provided by the Carolina Leadership Academy and described in Process 18.0.
- **Objectives:** To increase the capacity of an [existing leadership course](#) offered to leaders of other University student groups to include a section offered to members of the Advisory Council (SAAC). See [Process 18.5](#)
- **Measures of Success:**
 - An additional section of [BUSI 536, “Leadership in Action,”](#) was offered in fall 2015 to accommodate student-athletes who are members of SAAC. Sixteen student-athletes representing a variety of sports enrolled in the course. This section of BUSI 536 has been positively received; [course evaluations](#) and [student feedback](#) are positive.
- **Additional Information:** See [Process 18.2](#)

Conclusion

Through the extensive efforts of the Academic Initiative Working Group, the University made significant progress in its continuing commitment to support the academic success of student-athletes. During its two-year existence, the Working Group thoroughly documented the academic processes for student-athletes, assessed these processes, and made policy and process changes that were transparent to the University community and the public.

The Working Group determined that most of the current academic processes for student-athletes are reasonable and sound, but it also implemented changes where necessary. As illustrated by the 12 new initiatives outlined above, and the corresponding measures of their success, the University is confident that it has further strengthened the Chancellor’s control over athletics. The University took these proactive measures because it is committed to the highest possible standards for integrity in the administration of its academic processes. In the spirit of continuous improvement, the Process Review Group will sustain efforts to ensure that the University continues to build on the success of the initiatives already in place.

References

[Academic Processes for Student-Athletes Website \(apsa.unc.edu\)](#)
[Announcement of SAAIWG Findings to the Campus Community](#)
[Academic Support Program for Student-Athletes \(ASPSA\) Website](#)

[Enrolling Student-Athletes Report - Class Entering 2013](#)
[Enrolling Student-Athletes Report - Class Entering 2014](#)
[Enrolling Student-Athletes Report - Class Entering 2015](#)
[Academic Support Services for Student-Athletes - About](#)
[Comprehensive Standard 3.4.9 Academic Support Services](#)
[SAAIWG Meeting Dates](#)
[Chancellor's Cabinet Presentation Feb 3, 2015](#)
[Board of Trustees University Affairs Open Sessions](#)
[Carolina Commitment - Updates](#)
[November 13, 2014 letter from SACSCOC](#)
[January 2015 Report, Comprehensive Standard 3.2.11 Control of Intercollegiate Athletics APSA Website](#)
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[APSA Report Recommendations](#)
[APSA - Process 2.5](#)
[APSA - Process 5.0, 5.1](#)
[APSA - Process 7.1](#)
[APSA - Process 7.6](#)
[APSA Report Recommendations - Independent Study Courses](#)
[APSA - Process 21.0](#)
[Letter to Faculty Explaining Options for Exam Make-Ups](#)
[Academic Support Program for Student-Athletes Policies and Procedures Fall 2015](#)
[APSA - Process 7.4](#)
[Undergraduate Bulletin - Class Attendance Policy](#)
[Sample Travel Letter](#)
[APSA - Process 9.1](#)
[APSA - Process 9.2](#)
[ASPSA - Proctoring](#)
[APSA - Process 9.5](#)
[CARE Meeting Agenda Feb 2, 2016](#)
[CARE Meeting Schedule 2014-2016](#)
[CARE Meeting Minutes](#)
[APSA - Process 11.6](#)
[APSA - Process 11.7](#)
[FAC Educational Policy Committee](#)
[APSA - Process 6.2](#)
[University Career Services Programs](#)
[Fall 2015 Department of Athletics Student-Athlete Email](#)
[APSA - Process 18.7](#)
[Complete Carolina](#)

COMPREHENSIVE STANDARDS 3.2.11

Control of Intercollegiate Athletics

APSA - Process 19.4

Getting Ready for UNC (Brochure)

Getting Ready for UNC (UNC Admissions Website)

APSA - Process 1.4

APSA - Process 2.1.1

Book Policy

Department of Athletics Compliance Presentation - Textbooks

APSA - Process 3.9

Bounce Back

APSA - Process 11.0

EDUC 130, "Navigating the Research University"

APSA - Process 11.3.2

BUSI 536 - Leadership in Action Syllabi (BSBA Student Leaders and Greek Section)

APSA Process 18.5

BUSI 536 - Leadership in Action Syllabus (Student-Athlete Section)

BUSI 536-03 Course Evaluation

BUSI 536-03 Student Feedback

APSA - Process 18.2

Comprehensive Standard 3.4.9 Academic Support Services

This standard expects an institution to provide appropriate academic support services.

SACSCOC Request for Information

In the July 1, 2015 letter from SACSCOC, the University of North Carolina at Chapel Hill was asked to address the following specific requests for information regarding its compliance with this standard:

The institution has provided evidence of a number of new initiatives associated with the Academic Support Program for Student-Athletes (ASPSA), but the evidence is insufficient to determine compliance. The institution must provide additional documentation as to the effectiveness of the operationalization of the initiatives associated with this new structure as it relates to ASPSA.

Summary of the University's Response

Providing high-quality academic support services to promote the success of all students and facilitate degree completion is a key priority. The University believes it is essential to provide effective academic support services to students as they become oriented to UNC-Chapel Hill, develop their academic skills, plan and choose majors, courses, and careers, and progress academically to graduation. This section focuses on the services provided to student-athletes and highlights the substantial evidence that demonstrates the effectiveness and impact of a number of new initiatives associated with the Academic Support Program for Student-Athletes (ASPSA) since its move to the Office of the Executive Vice Chancellor and Provost.

- The University's ASPSA provides academic support for approximately 800 undergraduate student-athletes. ASPSA staff members work with student-athletes throughout their undergraduate careers starting when they are prospects, all throughout their time as a student, and after they leave the University.
- Since 2013, the University, through the work of the ASPSA, has developed, implemented, and evaluated a number of new strategic initiatives to improve the academic support services offered to student-athletes, including:
 - Moved the ASPSA from the College of Arts and Sciences to the Office of the Executive Vice Chancellor and Provost to increase accountability and strengthen academic oversight
 - Increased student-athlete access to academic advising from the University's Academic Advising Program

- Implemented the “My Academic Plan” program in the ASPSA to provide tailored and proactive academic planning and support to student-athletes
 - Conducted a self-study of the academic tutoring program and found that it is operating effectively and meeting the needs of the University’s student-athletes
 - Enhanced learning specialist resources to increase student-athletes’ use of those services and monitored the quality thereof
 - Added new Academic Success Workshops to assist entering student-athletes with their academic transition to college
- Since the [January 2015 submission](#) of UNC-Chapel Hill’s response to SACSCOC, the University has improved access to information about the ASPSA’s services for student-athletes through a new ASPSA website and other improved communications while also standardizing procedures for proctoring exams
 - The Student-Athlete Academic Initiative Working Group (described in Comprehensive Standard 3.2.11 Control of Intercollegiate Athletics) assessed the ASPSA’s initiatives, along with other policies and procedures that affect student-athlete educational experiences, and found them to be effectively meeting their objectives
 - Considerable evidence for each of the new initiatives demonstrates that the University succeeded not only in achieving original intended outcomes, but also is going to great efforts to enhance student-athletes’ academic and personal experiences

The University is confident that it is providing robust and effective academic support services to its student-athletes.

Actions

In the past three years, the University has proactively launched a series of new ASPSA strategic initiatives, all of which are well documented and operating effectively to support the academic success of Carolina’s student-athletes.

Strategic Initiative I: Moving the ASPSA from the College of Arts and Sciences to the Office of the Executive Vice Chancellor and Provost

Objective

Formerly, the ASPSA Director reported to an associate dean in the College of Arts and Sciences. With the appointment of a new ASPSA Director in May 2013, the director position was reassigned to report

directly to the Executive Vice Chancellor and Provost and hold the title of Assistant Provost. The objectives of this [organizational change](#) were to: (1) increase accountability by strengthening academic oversight of the ASPSA, and (2) provide the ASPSA with the institutional support needed to ensure the integrity and quality of the education the University provides to student-athletes.

Outcomes and Evidence of Effectiveness

Increased Accountability by Strengthening Academic Oversight of the ASPSA. The change in reporting lines instituted in May 2013 effectively increased accountability through more frequent formal and informal interactions between the Assistant Provost for ASPSA and the Provost. The Assistant Provost is a member of the Provost’s Cabinet and provides regular updates to senior staff about ASPSA activities and initiatives during the Cabinet’s biweekly meetings.

The Provost also holds regular one-on-one meetings with the Assistant Provost for planning, consultation, identification of concerns, and problem-solving related to the ASPSA and its operations. The Provost also conducts the Assistant Provost’s annual performance review using information gathered through a “360 degree” survey of the Assistant Provost’s peers and direct reports, a self-assessment report, and the Provost’s observations of success in achieving ASPSA’s goals.

This new structure provides more frequent communication and feedback and enables the Provost to oversee the ASPSA and to address concerns in a direct and timely manner, decreasing the likelihood that serious problems could occur unnoticed. Similarly, greater access to the Provost due to the reporting line change provides the Assistant Provost with many more opportunities to familiarize the Provost with the ASPSA’s operations and the particular needs of student-athletes. The Assistant Provost benefits from the Provost’s regular advice and support in decision-making. Examples of interactions include discussion of faculty-student relations, personnel, and institutional policy, such as the ASPSA Proctoring Policy for missed exams and assignments due to athletic competition (described in the response to [Comprehensive Standard 3.2.11](#) under Initiative #4).

Increased ASPSA Collaboration with Campus Partners through Organizational Change and Reporting Line to Provost. The University’s decision to elevate the ASPSA Director’s position to Assistant Provost with a direct reporting line to the Provost sent a clear message to the entire campus community about the priority that the senior leadership team places on the academic success and well-being of student-athletes. This increased visibility of the ASPSA contributed to a greater awareness by faculty members of the challenges student-athletes face in managing their dual obligations to both academics and their sports. More deliberate integration of the Assistant Provost for the ASPSA into campus dialogue about student-athletes among faculty, administrators, and students allowed the Director of ASPSA to gain a greater understanding of their questions, needs and concerns and to consider carefully how to increase and promote transparency.

In addition to regular meetings with the Provost, the Assistant Provost serves as a committee member, ex

officio member, or participant on numerous University committees. Participation and attendance provides opportunities for collaboration and increased accountability regarding academics for student-athletes and additional multidirectional exchanges of information. The following list includes these committees and the approximate number of participants (excluding the Assistant Provost).

- Undergraduate Admissions Advisory Committee (19)
- Special Talent Admissions Committee (10)
- ASPSA Advisory Committee (19)
- Thrive@Carolina: University-wide Student Success Initiative (17)*
- University Campus Advising Working Group (7)*
- CARE: Compliance, Academics, Registrars for Excellence (22)*
- Student-Athlete Academic Process Review Group (12)*
- Faculty Council (105)*
- Deans' Council (27)*
- Provost's Cabinet (6)*
- Athletics Executive Staff (12)
- Center Directors' meeting (20)
- Head Coaches' meeting (22)
- Professional Learning Community on Student Success (10)

*Indicates a new appointment for the Assistant Provost

Enhanced Comprehensive Review of Academic Processes for Student-Athletes through the Assistant Provost's Active Participation on the Student-Athlete Academic Initiative Working Group. The Assistant Provost for the ASPSA played a major role in the Student-Athlete Academic Initiative Working Group, one of the most important campus-wide initiatives that the University has completed in recent years to enhance the relationship between academics and athletics. Co-chaired by the Provost and the Athletics Director, the Working Group was charged with examining and documenting all academic processes that affect student-athletes throughout their entire University experience. The initiative coincided with other process improvement initiatives already under way in the ASPSA and the Office of Undergraduate Admissions. The response to [Comprehensive Standard 3.2.1 | Control of Intercollegiate Athletics](#) includes more information on the Working Group.

As part of its scope, the Working Group examined each recommendation made in the *2011 Academic Support Program for Student-Athletes Report* and linked it to one of 21 specific academic processes related

to student-athletes. Several recommendations addressed the need to expand the ASPSA's services. Areas of focus included orientation and summer programs for incoming student-athletes, enrollment and advising, academic support for student-athletes, resources for student-athletes with disabilities, and academic performance monitoring.

The completion of the Working Group's tasks in summer 2015 has important implications for additional enhancements to the focus and scope of the ASPSA moving forward. The University launched the [Academic Processes for Student-Athletes](#) website in fall 2015. The website provides detailed documentation of the 21 comprehensive academic processes reviewed by the Working Group and serves as a useful tool for continued process assessment and improvement. The University continues to enhance the environment for academic and athletic excellence through an ongoing group of campus leaders that reviews academic processes for student-athletes on a regular basis. Beginning in the spring 2016 semester, the [Student-Athlete Academic Process Review Group](#) convenes at least twice per semester and continues to monitor, review, document, and recommend improvements to academic processes for student-athletes. The Process Review Group utilizes this website as a tool to assess, track, and report units' ongoing efforts.

Improved ASPSA Web Presence and Access by Designing and Launching a New Website.

Prior to May 2013 and the change in reporting structure to the Office of the Executive Vice Chancellor and Provost, the [ASPSA's website](#) was located under the Center for Student Success and Academic Counseling in the Office of Undergraduate Education in the College of Arts and Sciences. Information on the prior version of the site was quite limited. The new ASPSA website, launched in fall 2015, is far more comprehensive and achieves the following objectives: (1) informs prospective students and families about the academic support available to student-athletes; (2) provides information to faculty who have student-athletes in their classes, including a way to submit feedback to an ASPSA department email (ASPSA@unc.edu) that is monitored by ASPSA staff members; (3) serves as a central source of information for ASPSA tutors and student-athletes; and (4) highlights the academic achievements of student-athletes.

Several stakeholder groups, including faculty on the ASPSA Advisory Committee and the Faculty Athletics Committee, coaches, and students from the Student-Athlete Advisory Committee, reviewed and evaluated the new ASPSA website for usefulness and relevance. Their responses indicated that they found the site to be comprehensive, informative, and quite helpful.

Currently, the website is housed on the [home page of the Office of the Executive Vice Chancellor and Provost](#), reflecting the revised ASPSA reporting line. In addition, the [Department of Athletics created a landing page on its website](#), so that anyone looking under the "Inside Athletics" menu option can easily find the information.

Strategic Initiative 2: Increasing Student-Athlete Access to Academic Advising

Objective

In 2013, the University began to require that all student-athletes in the General College and College of Arts and Sciences meet with an academic advisor at least once per semester to review their programs of study, discuss their courses, plan for their academic majors, and monitor their academic progress toward graduation. The purpose of this initiative is to expand student-athletes' access to academic advising and to give students the opportunity to take advantage of additional advising opportunities.

Implementation of Initiative

The Academic Advising Program (AAP) maintains transactional authority for all advising for students with declared majors in the College of Arts and Sciences from orientation through graduation. In addition, the AAP has primary academic advising responsibility for all students enrolled in the General College, including management of the general education program, academic appeals, and final degree certification for graduation. ASPSA provides academic support services specifically for student-athletes, including tutoring, NCAA eligibility, and counseling as students manage their academic and athletic responsibilities.

Approximately 90% of all student-athletes are enrolled in the College of Arts and Sciences (all first- and second-year student-athletes in the General College, and juniors and seniors who have [declared majors](#) within Arts and Sciences). In fall 2013, the University required student-athletes in the General College and College of Arts and Sciences to [meet with an academic advisor](#) at least once per semester to review their programs of study, discuss their courses, plan for their academic majors, and monitor their progress toward degree completion and graduation. Student-athletes are the only group of students at UNC-Chapel Hill required to meet with an academic advisor each semester. In addition, all students, including student-athletes, are required to have a graduation review meeting with an AAP advisor when they enter their sixth or seventh semester. The ASPSA [Policy and Procedures statement](#) provides more information about student-athlete advising.

Academic Advising. The [College of Arts and Sciences' AAP](#) provides comprehensive academic advising for all student-athletes from orientation through graduation. The AAP expects student-athletes to have a meaningful academic advising interaction each semester of their undergraduate careers (e.g., individual advising appointment, small group advising sessions and/or a pre-registration workshop). Academic advising sessions focus on more than a student's course selection and may also include discussion of a student's academic, career, and life goals. Other common topics of discussion include:

- Personal discovery, self-assessment, and identity development (who I am, what do I value)
- Educational goals

- Major and minor exploration
- Learning abilities and preferences including a sharing of information regarding ASPSA services and resources, the Learning Center, the Writing Center, Accessibility Resources, and faculty/academic department connections

Advisors also often provide information on the following, depending on students' personal goals:

- Academic department and faculty referrals
- Pre-graduate school, pre-med, pre-health professions, pre-law
- University Career Services
- Pursuit of high-impact educational practices such as first-year seminars, internships and other experiential learning opportunities, service learning courses, undergraduate research under the supervision of a faculty member, honors thesis, and study abroad
- Refer student-athletes to resources within the ASPSA
- Counseling and Psychological Services
- Referrals to offices such as Diversity and Multicultural Affairs as well as leadership development opportunities, clubs, and organizations
- Policies, procedures, and logistics related to degree progression
- Other resource referrals

Outcomes and Evidence of Effectiveness

Enhanced Student Support through AAP and ASPSA Collaboration. Two AAP assistant deans devote half of their time to student-athletes, and three other AAP academic advisors devote one-third of their time to student-athletes. These resources are equivalent to two full-time employees and comprise the core advising team for student-athletes. Advisors are knowledgeable of all degree programs within the College's divisions of Fine Arts and Humanities, Social and Behavioral Sciences, and Natural Sciences and Mathematics. Given that virtually all student-athletes meet with an advisor each semester, the University believes the resources dedicated to the core advising team focused on student-athletes are sufficient to meet current student needs.

The AAP office has multiple locations on campus for the convenience of students: Steele Building on central campus (9 a.m.-5 p.m., Monday through Friday), and satellite offices in Hardin Residence Hall on south campus (Monday through Friday, afternoons and evenings) and the Loudermilk Center for Excellence, where the ASPSA is housed.

Student-athletes may use a common email address (advisingforstudentathletesAAP@unc.edu) to

communicate with academic advisors or directly contact an advisor. All students use the AAP's online scheduling system to set up advising appointments in any of the three locations.

The [Partnership in Supporting Student-Athletes table](#) illustrates collaborative efforts between the AAP and the ASPSA. These efforts promote access to high quality advising services for student-athletes. For example, an assistant dean in the AAP attends the ASPSA's biweekly staff meetings to update the academic counselors. Other examples of collaborations between the AAP and the ASPSA include:

- Partnerships during the University's New Student Orientation to offer advising support to student-athletes and information to academic counselors
- Joint meetings with incoming first-year student-athletes enrolled in Summer Session II
- Joint training sessions with ASPSA staff to improve communication between the two ASPSA and AAP and with students
- New academic counselor training (e.g., overview of top-12 majors, forms, policies and procedures, undergraduate student population)
- Communication with ASPSA Academic Counselors to encourage academic advising appointments with students on each team
- Coordination with the Office of Undergraduate Retention to discuss trends related to student-athletes and establish priority advising schedules for students on academic probation
- Drop-in hours during the first week of classes and additional advising support during peak registration times in all three advising locations (Steele, Hardin, and Loudermilk)

While there is much collaboration between the AAP and the ASPSA, each office has a unique focus in supporting the academic success of student-athletes. The AAP offers:

- In-depth knowledge of the academic curriculum
- Transactional authority of academic policies (e.g., declaration of major, clearance for graduation)
- Support for addressing personal challenges that may impede a student-athlete's academic performance (e.g., students may choose to share information with advisors about issues such as medical, psychological, financial or family issues)
- Assistance to students as they make strategic plans for their academic futures

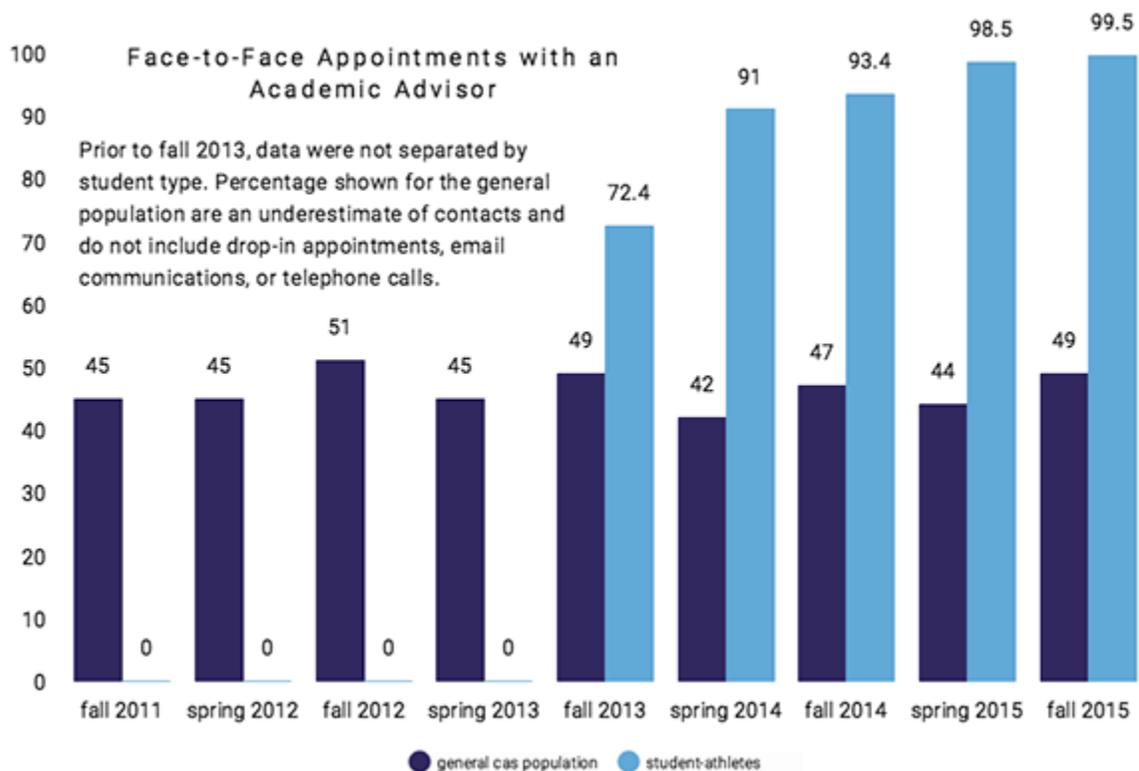
The ASPSA offers:

- My Academic Plan (MAP)

- Tutorial assistance
- Guidance regarding UNC-Chapel Hill and NCAA academic eligibility
- Administration of academic recognition and awards
- Information about academic resources to current student-athletes and prospective students

Increased Face-to-Face Academic Advising Appointments Due to New Advising Requirement.

Since the implementation of the student-athlete AAP advising policy in fall 2013, when the University began tracking student-athlete meetings with academic advisors, our analysis shows most student-athletes have met with an AAP Advisor once per semester. (These results include percentages of face-to-face appointments per semester and do not include advising via drop-in, email and telephone.) In fall 2015, 99.5% of student-athletes met with an AAP Advisor compared to less than 50% of all students in the College of Arts and Sciences. These percentages have increased each semester and provide evidence of thoughtful and deliberate efforts to provide quality advising experiences to every student-athlete every semester. The ASPSA partners with the AAP to track which student-athletes have met with an advisor each semester. ASPSA Academic Counselors keep Department of Athletics coaches apprised of which team members have or have not fulfilled their advising requirements each semester.



Improved Access to Academic Advising Due to Placement of Advising Locations. To determine if this strategic initiative improved student-athletes' access to academic advising, and to understand better the nature of these interactions, a member of the Student-Athlete Academic Initiative Working Group analyzed the specific interactions between academic advisors from the College of Arts and Sciences and student-athletes since 2013, when the initiative to increase access to academic advising was first implemented.

Advisors record "Advisor Notes" in their online advising tracking system after each meeting with a student. The review involved examining advisor notes for a random sample of 100 student-athletes who entered UNC-Chapel Hill between fall 2009 and fall 2014. For students in the sample, advisors recorded 1,092 entries between fall 2010 and fall 2015. Content analysis of the notes revealed that most advising meetings were face-to-face appointments (41%) with large percentages of walks-ins (25%), emails (27%), and other (7%, e.g., telephone calls). Students most commonly used their advising meetings to discuss registration (26%), major/minor questions (17%), and drop/add options (12%).

The Advisor Notes illustrate increased coordination and interactions between the AAP and the ASPSA staff beginning in fall 2013. Academic Counselors entered Advisor Notes only for drop/add and/or major declarations solely for NCAA eligibility purposes. The Advisor Notes provide evidence of conversations between individual students and AAP Advisors and follow-up conversations with ASPSA Academic Counselors (and vice versa) to communicate the impact on a student's NCAA eligibility (e.g., dropping or adding a course, or declaring or changing a major).

The analysis of Advisor Notes also showed increased student interactions with AAP advisors since the implementation of the AAP advising policy. Between fall 2010 and 2013, there were 300 Advisor Notes in the sample analyzed, compared with nearly 800 Advisor Notes between fall 2013 and mid-fall 2015.

These data also provide evidence of expanded student-athlete access to advising from the AAP's core advising team, which was established in 2013 to increase the dedicated advising resources for this population. The core team accounted for an average of more than 50% of the Advisor Notes per student-athlete over this period of time.

Feedback from student-athletes concerning their experiences with these advising services indicates a high level of satisfaction. The most recent results from the AAP's survey, collected during 2014-15, found that over 97% of respondents agreed that their advisor was knowledgeable, skillful, respectful, and attentive to their needs.

Overall, these results demonstrate the following:

- Changes to the availability and delivery of academic advising for student-athletes have been positive and impactful
- Requiring all student-athletes to see an Academic Advising Program advisor once per semester increased their use of these services almost threefold

- Additional advising locations in Steele Building, Hardin Hall, and Loudermilk increased student access to academic advising
- Collaboration between the AAP and the ASPSA made a positive impact on student-athletes by increasing their access to high-quality advising and information and providing student-athletes with more opportunities for interaction with both AAP advisors and ASPSA staff
- Student-athletes found the required meeting every semester to help their progression to graduation

Strategic Initiative 3: “My Academic Plan” Program

Objective

“My Academic Plan” (MAP) was designed to provide a more individualized, proactive approach to academic planning and support services for student-athletes. MAP encourages student-athletes to work closely with their academic counselors to develop an academic plan tailored to their specific needs and academic preparedness. As of fall 2013, all incoming first-year and new transfer student-athletes participate in the MAP Program to help them successfully adapt to the academic demands of college. Students continue in the MAP Program if they have a cumulative grade-point average below 2.5 or if they experience challenges with maintaining their UNC-Chapel Hill or NCAA academic eligibility.

Implementation of Initiative

Since its launch in fall 2013, the ASPSA’s MAP initiative has served an average of 310 student-athletes in the fall and 273 student-athletes in the spring. Records indicate that nearly 80% of all appointments for services in the tutoring program are made by students participating in the MAP program. All —100%— of students who are part of the MAP program receive tutoring services.

The typical MAP may include the following components to help structure the learning environment for participating students: individual weekly meetings with an academic counselor, academic counselor-led guided study halls, individual study halls, both group and individual tutoring sessions, and individual weekly meetings with a member of the ASPSA learning specialist staff. A [sample](#) of active students’ MAPs from fall 2015 offers a view of actual individualized curricular plans.

In fall 2014, the team of professional academic support specialists who work with students to formulate MAPs also developed a Collaborative Support Model. This model serves as a framework that promotes collaboration and enhanced coordination among the learning specialists, academic counselors, and tutor coordinators in creating supportive and effective MAPs for each student-athlete. (A more complete description of this model appears below in the discussion of Strategic Initiative 5: Enhanced ASPSA Learning Specialist Services.)

Outcomes and Evidence of Effectiveness

While the MAP program is only in its third year, both direct measures of student achievement and student perceptions of their participation assessed thus far are providing evidence of the effectiveness of this initiative.

Improved Student Achievement Due to the Implementation of the MAP. Academic performance gains are associated with participation in the MAP program. For example, as seen in Table I, the findings show that MAP participants have somewhat higher first-year GPAs and are more likely to have completed a first-year seminar (a high impact educational experience) as compared to a propensity score matched control group of student-athletes with similar characteristics who matriculated in the two years prior to the implementation of MAP.

Table I
Descriptive Analysis of Academic Outcomes for Student-Athletes Who Participated in the “My Academic Plan” Program Compared to a Matched Comparison Sample

Academic Outcome	Fall Year I	Spring Year I	Overall Year I
Term Grade Point Average			
Comparison	2.70	2.91	--
MAP	2.81	3.03	--
Cumulative Grade Point Average (Includes Summer)			
Comparison	2.77	2.84	--
MAP	2.88	2.96	--
Percent of Grades that Are D, F, or W			
Comparison	32.3%	23.8%	--
MAP	20.4%	19.8%	--
First-to-Second Year Retention			
Comparison	--	--	94.1%
MAP	--	--	92.5%
Completed First-Year Seminar			
Comparison	--	--	69.4%
MAP	--	--	77.4%

Note. MAP = My Academic Plan. The comparison group consists of all first-year student-athletes who entered in fall 2013 and participated in MAP (n = 186) and a comparison sample (n = 186) of all first year student-athletes who did not have any exposure to MAP. In 2011 The comparison group was created using propensity scores from logistic regression using sex, race/ethnicity, residency, citizenship, first generation status, financial aid status, sport (baseball, basketball, football, or other), and intended major (humanities/ fine arts/social sciences, STEM, professional area, undecided), SAT/ACT converted, number of exam credits at entry) to predict MAP cohort status. Propensity scores of comparison students were matched to MAP students using nearest neighbor strategy.

Positive Student Feedback about MAP Due to Enhanced Academic Support. To measure student perceptions of the new MAP program, the ASPSA included a specific question in the regular end-of-year evaluations conducted with students who receive ASPSA services. Other evaluation efforts have included designing focus groups to capture feedback from student-athletes about their experiences developing a MAP with an academic counselor and how they used it to guide their first few academic terms. Thirty-one MAP users representing 10 sports participated in the seven focus groups at the end of academic year 2014-15. The [focus group protocol](#) covered several topics; questions relevant to the MAP program were:

- The design of the MAP program is to develop a plan that is flexible and tailored to your academic courses, your academic needs, and your academic preparedness to do your work. For you, what worked well about the MAP program?
- Would you make any changes to the design of the MAP program? Explain.
- What is your overall feeling about your MAP this year?

Analysis of the [focus group responses](#) found common themes from participants over the last two years, including:

- Overall, students perceived that the MAP program was helpful both in making academics a greater priority and in providing academic services coordinated around their class and competition schedules.
- Many students said they received adequate tutoring to support their success in the targeted courses.
- Some students explained that they did not understand the differences between the services provided by the content tutor, assistant learning specialist, and full learning specialist. Academic Counselors continue to inform students about how the ASPSA staff collaborates in delivering the MAP program; the ASPSA has taken this action to make improvements based on student feedback.
- Some students expressed an interest in having greater input in the development of their MAPs, including the number of hours they spend in tutoring sessions and other requirements such as guided study.

At their March 2014 meeting, the University's Board of Trustees invited several student-athletes to [speak about their experiences with the MAP Program](#). The students described working hard in the classroom and praised the efforts of the ASPSA to support them. Their comments regarding academic support services and the MAP Program were positive and included:

- "Participation in Division I sports is not for everyone; it takes a lot of time... The students who can do it are some of the most self-disciplined people that you'll meet."

- “‘My Academic Plan’ is for all first-year students, returning students with academic issues, and transfers. It’s a set schedule to help you manage your class time and your study time. It’s definitely helped me become more organized and take more responsibility for my schoolwork.”
- “Off the court, we have a support program like no other...My mom is a teacher and she wanted to be sure that I found a place where I would succeed.”

Strategic Initiative 4: Monitoring Effectiveness of the Academic Tutoring Program

Objective

Beginning in fall 2013, the University initiated a comprehensive assessment and data collection effort to better understand the effectiveness of multiple aspects of the Academic Tutor Program, one of the most complex services provided to student-athletes because it requires exceptional education and training, management of challenging logistics, and continuous monitoring.

Implementation of Initiative

To assess the effectiveness of the Academic Tutoring Program, ASPSA staff developed a reporting system that provides regular reports of key summary statistics. These reports allow the Director and others to evaluate (1) the quality of the tutoring services; and (2) student participation in tutoring services. The following new reports and assessments examined the tutoring program and additional academic services.

Outcomes and Evidence of Effectiveness

To evaluate the tutor program, many different assessments have been created and maintained to measure the effectiveness of multiple facets of the program include the operationalization and the quality of the service. These assessments provide evidence that the Academic Tutoring Program is providing student-athletes with high quality academic support.

- **Observation Report:** The tutor supervision evaluation plan includes an in-session observation of each tutor at least twice a year to ensure that the tutor covers material effectively and adheres to tutoring policies. The Tutor Coordinator began an intentional approach to conducting tutor observations in fall 2013 to renew the process. The same semester, the Tutor Coordinator included the Reading/Writing Learning Specialist to observe the writing tutors, and by fall 2014, the other Learning Specialists joined this effort to conduct observations. Since Learning Specialists help design the tutor training, they are well qualified to evaluate the performance of the tutors and, in turn, can use the results to improve training. In addition, their support increased capacity for assessing tutors and ensuring the quality of their work. As a result of the joint effort, evaluations involved

observing over 90% of all tutors during the past two semesters, compared to an average of 73% in prior semesters.

- **Tutor Evaluation of Program:** At the end of each term, tutors complete an anonymous online survey to evaluate the tutoring program, including questions that focus on student performance during sessions, staff support of the tutors, and the effectiveness of the tutoring program including the management of the program. In fall 2015 (response rate = 59%), tutors rated their overall satisfaction with the UNC-Chapel Hill tutorial program with a mean of 4.19 on a five-point scale ranging from *poor* (1) to *exceptional* (5). Tutors also rated the effectiveness of their training with a mean of 3.85 on a five-point scale ranging from *strongly disagree* (1) to *strongly agree* (5).
- **Student-Athlete Evaluation of Tutors:** ASPSA administers an anonymous online survey to student-athlete participants at the end of each semester. In fall 2014, the questions were revised to gather additional feedback regarding these services and the survey was administered online. This survey has been administered at the end of each subsequent semester. A total of 1,021 surveys were administered in fall 2015 with a response rate of 82%, 910 administered in spring 2015 (response rate = 61%) and 981 administered in fall 2014 (response rate = 67%). The overall rating of the effectiveness of tutors increased from 4.54 (fall 2014) to 4.65 (spring 2015) and then decreased slightly to 4.55 (Fall 2015) on a scale from *strongly disagree* (5) to *strongly agree* (1); the questions reads,“(tutor name)_____was an effective tutor.” In addition, ASPSA administered a new online mid-semester evaluation to participants in fall 2014 via an email. The purpose of the mid-semester survey is to provide a quick feedback process for the students and allow the ASPSA leadership to see if there are any issues that may need to be addressed. In fall 2014, 60 student-athletes responded to the question about satisfaction with the tutorial program; the students evaluated the program with a 3.90 on a scale from *very dissatisfied* (1) to *very satisfied* (5). In fall 2015, 55 students responded and rated the tutorial program as a 3.96 on a scale from *very dissatisfied* (1) to *very satisfied* (5).
- **Monitoring of Tutor Compliance with Academic Integrity Rules and End of Employment Agreement:** At the end of each 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. Since fall 2012, the completion rate of end-of-term tutor paperwork has been very high each semester (95% to 99%). In addition, at the end of their employment, tutors receive a [letter](#) reminding them of their obligation to continue to comply with UNC-Chapel Hill and NCAA policies governing student-tutor interaction. The distribution of this letter has been standard practice for many years and was added to an official tracking report in fall 2015. At the end of fall 2015, 86% of tutors who departed (25 out of 29) received letters on the summary report, demonstrating compliance with these academic

integrity rules. The four who did not receive letters continue to work as monitors and will receive the letter upon complete separation from the ASPSA.

- **Participation in Tutoring Services:**

- **Number of Academic Appointments:** A comprehensive report captures the total number of academic appointments offered during each semester excluding sessions offered during the final exam period (fall 2013: 16,914 academic appointments; spring 2014: 13,420; fall 2014: 17,746; spring 2015: 13,581; fall 2015: 17,325). An analysis of these data reveals that student-athletes are taking advantage of these services, using approximately 70% of the appointments offered each term.
 - **Number of Cancellations and Infractions:** ASPSA staff track the number of tutor appointment cancellations that occur during a semester including the reason for the cancellation. From fall 2013 to spring 2015, cancellations increased from 929 to 1,780. The staff also tracked the infractions levied as a result of the students' failure to appear on time or to cancel the appointment. In fall 2013, there were 595 no-shows and 124 late arrivals; in spring 2015 there were 604 no-shows and 134 late arrivals. These reports provide information to better understand the circumstances when a tutoring appointment did not occur as scheduled. For instance, the increase in the number of cancellations has been attributed to student-athletes' improved understanding of the cancellation process, which prompted more students to cancel in a timely manner, and to the ASPSA academic counselors taking on additional responsibilities to cancel appointments for specific events including travel.
 - **Study Hall Usage:** Since fall 2013, the ASPSA has tracked use of a study hall room in the Loudermilk Center for Excellence during specific time blocks throughout the day. The ASPSA Director uses this information to evaluate whether the hours of operation align with student-athletes' study schedule patterns and if space is adequate to support student needs during peak times. For example, results have shown that the 8 a.m. to 9 a.m. slot is the least busy time in the study hall room with an average of less than one student per day. In contrast, student-athletes most heavily use the facility between 7 p.m. and 9 p.m. Monday through Thursday, with between 26 and 46 students present at any given 30-minute period in the fall and 11 to 17 students in the spring. These results, combined with direct feedback from students, helped determine that a second study hall room was needed in the evenings during fall, but not during spring semesters.
- **Student-Athlete Evaluation of MAP and Tutorial Program:** At the end of the spring 2014 and 2015 semesters, the ASPSA staff conducted focus groups with an estimated 30 students per term to gain information regarding student-athlete perspectives about

the MAP and tutorial programs. In general, the students noted mixed feelings about the tutoring program's policies, such as the cancellation and appeals process, ranging from reasonable to unreasonable. In addition, the [results](#) revealed that some students were aware of available resources including library services while others were unaware of these resources. The ASPSA staff has used these data to make various improvements and improve services each year. For example, the ASPSA took on the responsibility for tutor cancellations due to official student-athlete travel. In addition, to improve awareness of available resources, the ASPSA has added two TV monitors in the lobby of the Loudermilk Center for Excellence to display the time and location within the building of all review sessions, drop-in sessions, and events.

Strategic Initiative 5: Enhanced ASPSA Learning Specialist Services

Objective

In 2013, the ASPSA created the Learning Specialist Unit as part of an internal reorganization, with a goal of defining and tailoring services to meet the academic needs of student-athletes. The purpose of this reorganization was to allow Learning Specialists to work with students based on their specific needs (instead of based on their sport) and to encourage synergy, continuous improvement, and professional development within the unit.

Implementation of Initiative

Previously, the ASPSA learning specialists reported to two different associate directors based on sport team. In summer 2013, the newly appointed Director of the ASPSA restructured the unit so that all learning specialists reported to one associate director, who is also a learning specialist. The ASPSA hired an Associate Director/Learning Specialist to manage the Learning Specialist Unit in summer 2014.

With the change in approach to assigning student-athletes to learning specialists, student-athletes are now matched with learning specialists based on specific student needs. While all the learning specialists are generalists, one specializes in reading and writing, and the other in learning disabilities. In the spirit of continuous program improvement, the ASPSA also is considering hiring a learning specialist who focuses mainly on math skill development. Within this structure, a student-athlete may work with two learning specialists concurrently, depending on his or her needs. An average of 32 student-athletes per semester meet weekly with staff in the Learning Specialist Unit. At the start of every semester the Learning Specialist staff and the team-based academic counselors collaborate and review individual student-athlete needs, matching them to appropriate learning specialists, and developing proposed MAPs for the student-athletes. This approach is the ASPSA's Collaborative Support Model that was piloted in fall 2014 and continues to evolve.

The Collaborative Support Model is a cooperative effort among the ASPSA staff to assess and identify the support and services that should be included in each student's MAP. The ASPSA staff match student-athletes with a learning specialist, and also determine the structure of the student's tutoring and group study sessions based on his/her individual learning needs. The learning specialists, academic counselors, and tutor coordinator meet prior to each semester and midway through the semester to develop student-athletes' MAPs and make any needed adjustments. After this collaborative work, the academic counselors work individually with the student-athletes to discuss their proposed academic plans, gather feedback, make appropriate adjustments, and finalize the MAPs.

The Learning Specialist Unit also coordinates psychoeducational assessments for student-athletes who need this service. In summer 2013, the learning specialist staff and the new Director of the ASPSA re-evaluated the screening process for student-athletes, including testing procedures and the choice of psychologists to conduct the assessments. Those deliberations also led to identifying a [new process](#) and establishing new guidelines. The assessment now begins with a preliminary questionnaire administered internally by the ASPSA. The questionnaire includes a student self-evaluation, writing sample, and reading comprehension section. An external faculty member who is an expert in educational psychology confirmed the validity of the ASPSA questionnaire. Based on information provided by the questionnaire, some students are referred for initial psychoeducational screening which may lead to full assessment for learning disabilities. Additionally, full student assessments are evaluated for completion and accuracy by University Campus Health Services. Since summer 2013, more than 175 student-athletes have completed an initial ASPSA questionnaire related to learning approaches.

Outcomes and Evidence of Effectiveness

Regarding the objective of the Collaborative Support Model (CSM) to improve the effectiveness, synergy, and collaboration of the Learning Specialist Unit within the overall ASPSA organization, the evidence shows that the staff is working together to meet the academic support needs of student-athletes. As the ASPSA transitioned to this new approach, the staff increased the number of CSM conferences with student-athletes. At the start of the fall 2014 semester, using the CSM, the ASPSA reviewed and made necessary revisions to the MAPs of student-athletes from 24 teams (out of 28). At the start of the fall 2015 semester, the ASPSA reviewed MAPs for student-athletes from 27 teams (out of 28).

Strategic Initiative 6: Workshops that Support Academic Success

Objective

The ASPSA's [Academic Success Workshops](#) were developed to provide opportunities over and beyond the University's regular orientation program for new students. The goal of these workshops is to expose entering student-athletes to fundamental skills needed for the transition from high school to college.

Implementation of Initiative

Beginning in summer 2014, the ASPSA offered five new academic success workshop topics to entering student-athletes: *Honor Court Presentation*, *Library Services*, *Writing Center Workshop*, *Best Study Practices*, and *Classroom Expectation Panel with Faculty and Student-Athletes*. These workshops were different from the pre-existing Summer College Opportunities for Realizing Educational Success (SCORES) program conducted by the Department of Athletics' Office of Student Development for first-year football student-athletes. The focus of the ASPSA's workshops are purely academic and they are offered to *all* entering student-athletes. The academic success workshops complement existing programs offered by the Department of Athletics' Office of Student Development. The ASPSA determined that more than 93% of the incoming 2015 summer student-athletes attended the academic success workshops, compared to an estimated 75% in the prior year.

Outcomes and Evidence of Effectiveness

To evaluate the effectiveness of the new workshops, the ASPSA surveyed student-athletes regarding their perceptions of these experiences. Participants rated each workshop on three dimensions (*Content*, *Presenters*, and *Relevance to Your Academic Success*) using a seven-point Likert-type scale ranging from *very ineffective* (1) to *very effective* (7). Feedback was positive, with *mean ratings* ranging from 4.75 (Student-Athlete and Professor Panel, 2015) to 5.55 (Honor Court Presentation, 2014). The surveys were administered mid-semester following the workshops. Student-athletes indicated that the workshops promoted their academic success during the second summer session (summer 2014: 77%; summer 2015: 88%) and fall semester (fall 2014: 86%; fall 2015: 94%). Participants reported that they particularly appreciated the chance to meet professors; learn about effective strategies for communicating with their instructors and managing their time; and the introduction to the honor system. The ASPSA staff believed that the workshops provided helpful content and exposure to faculty and staff, and set a positive tone for the academic year.

The ASPSA originally created academic success workshops only for incoming student-athletes during the summer. However, in spring 2015, the ASPSA modified some workshops to accommodate an increasing number of student-athletes who matriculate in the spring. The ASPSA offered an Honor Court workshop during spring 2015 Orientation, and a faculty-led writing workshop to football student-athletes during the first week of spring 2015 classes. The ASPSA also provided learning assessments throughout the spring semester. The ASPSA did not evaluate the abbreviated spring workshops, but the staff continues to review and revise the structure of the academic success workshops to ensure that key content is conveyed to all incoming students.

Conclusion

Substantial evidence supports the University's confidence in the effectiveness of the new strategic initiatives undertaken by and associated with ASPSA. The evidence outlined above strongly demonstrates

that these initiatives are fully operational and yield strong outcomes for the University and for its student-athletes. The major organizational change, which placed the ASPSA within the Office of the Provost, increased accountability, strengthened academic oversight of the ASPSA, increased collaboration of the ASPSA with a wide range of campus partners, increased quality of the significant review of academic processes for student-athletes, and improved ASPSA's overall visibility in the campus community. The evidence shown in this section demonstrates positive outcomes for the ASPSA staff's proactive efforts to develop and utilize individualized academic plans for student-athletes. The academic support for student-athletes now includes more consistent and improved advising and tutoring programs, dedicated learning specialists, and new, highly rated academic success workshops. These multiple forms of evidence strongly support the University's ongoing commitment to the implementation and assessment of these initiatives, as well as the continued success of the ASPSA in serving student-athletes as they make progress toward graduation.

References

[January 2015 Report, 3.4.9 Academic Support Services](#)

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

[Comprehensive Standard 3.2.11 Control of Intercollegiate Athletics](#)

[Academic Processes for Student-Athletes \(APSA\)](#)

[Student-Athlete Process Review Group](#)

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

[ASPSA on the Office of the Executive Vice Chancellor and Provost Website](#)

[ASPSA on the Department of Athletics Website](#)

[Majors and Fields for Student-Athletes at Junior Status or Higher](#)

[Policy on Academic Advising for Student-Athletes as of October 15, 2014](#)

[Academic Support Program for Student-Athletes Policies and Procedures Fall 2015](#)

[College of Arts and Sciences Academic Advising Program \(AAP\)](#)

[Academic Advising Program \(AAP\) and Academic Support Program \(ASPSA\) Responsibilities Chart May 31, 2015](#)

[Student-Athletes Responses to Post Advising Survey](#)

[My Academic Plan \(MAP\) Samples](#)

[Guidelines and Protocol for Student-Athlete Focus Groups](#)

[Student-Athlete Focus Group Results](#)

[The Life of a Student-Athlete Presentation - BOT March 2014 Meeting](#)

[Academic Honesty Testimonial](#)

[Academic Integrity Statement Addendum](#)

[Tutor End of Employment Letter](#)

[Tutoring Focus Groups Results](#)

[Learning Assessments: Process & Guidelines](#)

[Academic Success Workshops](#)

Summer Academic Success Workshop Schedule and Attendance
Summer Academic Workshops Survey Data

Comprehensive Standard 3.7.4 Academic Freedom

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

SACSCOC Request for Information

In the July 1, 2015, letter from SACSCOC, the University of North Carolina at Chapel Hill was asked to address the following specific requests for information regarding its compliance with this standard:

The institution notes that it adheres to University of North Carolina System, University of North Carolina Board of Trustees, and other policies regarding academic freedom. The University indicates that it reviewed and revised its Faculty Handbook in 2015. The institution's response did not directly address any changes to academic freedom in the Handbook; rather, the response indicates that it did not find anything inherent about those policies that would preclude faculty accountability for academic barriers and integrity issues. However, irregularities did take place under the auspices of the current academic freedom section of the Faculty Handbook. Therefore, the institution's response did not provide any new information other than the establishment of the working group that would ensure communication avenues to prevent academic irregularities from occurring. The institution must demonstrate that the initiatives of the working group are adopted and the implementation provides assurances to prevent future academic irregularities.

Summary of the University's Response

The University has great confidence in the integrity of its academic programs and its equally strong and enduring commitment to academic freedom. The academic irregularities of the past—all of which ended in 2011—were wrong and unacceptable in the name of academic freedom or any other name. Neither the University's policy on academic freedom, nor any other policy caused or authorized the past irregularities. Rather, the academic irregularities were the product of serious wrongdoing by individuals—each of whom have been identified and no longer are affiliated with the University—and shortcomings in internal and administrative controls, especially relating to the academic oversight and implementation of independent study courses.

Now, five years after their discovery, the academic irregularities are well understood and documented and have been fully and transparently disclosed. The attention the past irregularities have received has been eclipsed only by the scope and magnitude of the University's response, in particular through the implementation of comprehensive reforms to prevent any recurrence of the past failings and, more recently, a series of robust initiatives to ensure and bolster every dimension of Carolina's commitment to integrity.

The distinction between academic freedom, which the University properly promotes and vigorously defends, and academic integrity, which the University demands and holds individuals accountable for, is clear as a matter of policy, principle, and practice. The Faculty Council reinforced these same commitments in November 2015, by [passing a resolution](#) acknowledging the obligation of each and every faculty member, in teaching, research, and scholarship, to exercise all aspects of academic freedom with “honesty and transparency.” The [Faculty Council’s resolution](#) followed the University’s implementation, over the last five years, of more than 70 distinct actions and initiatives to enhance and ensure academic integrity. Against the backdrop of these initiatives and the University’s transparent exposure of the past irregularities, there should be no confusion between academic freedom and academic integrity and, more specifically, the necessity for complete integrity in every action by everyone associated with Carolina.

In direct response to the Commission’s present request, the Ethics and Integrity Working Group completed its work on schedule in November 2015. The Group, whose membership encompassed a diverse section of the Carolina community, including many faculty members, worked for more than six months to inventory and review all ethics-related programs, training, practices, regulations, and reporting and compliance mechanisms in place across the University. In its final report, the Working Group confirmed its initial assessment that the University has in place robust programs and resources related to ethics and integrity and further that there exist no significant gaps in programs, resources, or reporting mechanisms. (A fuller description of the Working Group’s efforts, findings, and recommendations is contained in the University’s response to [Principle Requirement I.1 Integrity](#).) In February 2016, the Faculty Executive Committee of the Faculty Council [passed a resolution](#) endorsing the report of the Ethics and Integrity Working Group to indicate the faculty’s commitment to adhering to the highest standards of ethics, integrity, and accountability.

Under the leadership of Chancellor Carol L. Folt and Provost James W. Dean, Jr., the University, as explained below, already has taken concrete steps to implement the Working Group’s recommendations by naming an interim Chief Integrity and Policy Officer, while also creating a new website to reinforce Carolina’s commitment to ethics and integrity and to provide links to the multiple channels through which concerns or violations of policy can be reported. The website, *Ethics and Integrity at Carolina*, is scheduled for release in March 2016.

Actions

The University’s Abiding Commitments to Academic Freedom and Academic Integrity

In our [January 2015 response](#) to the Commission, the University explained that the [UNC System Code](#) as well as [UNC-Chapel Hill Trustee policy](#) encourages “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.” This policy on academic freedom is sound, mirrors those in place at universities across the nation, and, in the broader [mission of UNC-Chapel Hill](#), reinforces the University’s commitment to serve as a “center for research, scholarship, and creativity” while “embrace[ing] an unwavering commitment to excellence as one of the world’s great research universities.”

Inherent in the University’s commitment to academic excellence is an equally entrenched commitment to integrity. These principles complement and reinforce each another: academic excellence cannot be achieved without integrity, and always acting with integrity is one mark of excellence. The same conclusion extends to considerations of academic freedom. As Chancellor Folt underscored upon the University’s release of the report of the independent investigation by Kenneth Wainstein, “Academic freedom does not mean freedom from accountability.” Indeed, the Chancellor continued, the “integrity of the University is owned by all of us” through every action taken by Carolina’s leadership, faculty, staff, and students. ([Transcript of Press Conference, page 28](#))

The University has repeatedly acknowledged that the past academic irregularities in the former Department of African and Afro-American Studies (AFAM) were the product of unacceptable individual shortcomings in controls, especially with respect to the oversight and administration of independent study course and department chair review processes. As the Wainstein investigation found, however, the evidence supports the conclusion that “the principle of academic freedom was not used to justify the misconduct.” ([Wainstein Report, page 85](#))

While agreeing with the Wainstein Report’s conclusion, revisiting at this point in time the precise ways in which the latitude previously afforded faculty members in devising and administering independent studies contributed to the past irregularities would advance no productive purpose. The nature, origin, and scope of the past shortcomings have been thoroughly and exhaustively examined and [transparently reported](#). In short, they were the product of bad decisions by individuals and insufficient operational controls, not a deficient policy on academic freedom.

The important question now—and the one the Commission has appropriately chosen to focus on as part of its assessment of Carolina’s present compliance with the *Principles of Accreditation*—is whether the University can produce evidence demonstrating the effectiveness of specific initiatives implemented in recent years. This report, together with the supporting materials, contains that evidence.

The Ethics and Integrity Working Group

The University’s response to [Principle Requirement 1.1 Integrity](#) describes the creation, purposes, conclusions, and recommendations of the [Ethics and Integrity Working Group](#) in significant detail. The response explains that the Working Group met 20 times and undertook a thorough review of the scope and sufficiency of the University’s policies for reporting ethical concerns or violations of policy, and to recommend steps the University may take to reinforce the necessity for integrity and ethical behavior at every level. As noted above, the Working Group amassed [substantial evidence](#) to support its conclusions

that “the campus has in place already a robust array of programs and resources related to ethics and integrity” and, furthermore, that the Group’s comprehensive review “did not identify any significant gaps in programs, resources, or reporting mechanisms.” ([Ethics and Integrity Working Group Final Report, page 10](#))

In receiving the Working Group’s [final report](#), Chancellor Folt [emphasized her own commitment](#) to do everything possible to support Carolina’s “commitment to a culture of integrity and ethical behavior across our campus” and to engage “the University’s senior leadership in this continuing effort.” On February 4, 2016, Chancellor Folt announced her [acceptance of the joint recommendation](#) of the Ethics and Integrity Working Group and the Policy and Procedures Working Group for the creation of the position of Chief Integrity and Policy Officer, a new senior administrator position reporting directly to the Chancellor. In doing so, Chancellor Folt named Dr. Todd Nicolet, Senior Associate Dean of Administration for the Gillings School of Global Public Health, as Interim Chief Integrity and Policy Officer.

As an additional action to implement the recommendations of the Ethics and Integrity Working Group, Chancellor Folt announced that the Vice Chancellor of Communications and Public Affairs, Joel Curran, would lead an effort to create a prominent website that will reinforce Carolina’s commitment to ethics and integrity while also providing links to the multiple channels through which individuals can report a concern or violation of policy. The website, [Ethics and Integrity at Carolina](#), has been developed and is scheduled for release in March 2016.

Conclusion

The finding by the Ethics and Integrity Working Group that the University has in place a robust array of programs and resources related to ethics and integrity, including strong reporting mechanisms, went a long way to validate the tireless efforts behind the expansive reforms and many proactive initiatives instituted over the last five years. These efforts received further reinforcement with the Chancellor’s recent announcement of the creation of the position of Chief Integrity and Policy Officer and the Faculty Council’s clear, firm position that principles of academic freedom, while rightly cherished and steadfastly protected, can never be invoked to compromise academic integrity. Indeed, nothing can be permitted to compromise any aspect of the University’s integrity. This commitment is ironclad, etched into the University’s policies, procedures, controls, operations, and reporting mechanisms, and are the product of enormous investments of time, money, and other resources to move beyond the irregularities of the past to a future defined by extraordinary standards of academic excellence.

References

- [Faculty Council Passed Resolution 2015-14 on Academic Freedom and Responsibility](#)
- [Faculty Council Meeting Nov 2015 Agenda & Excerpt Related to Passage Resolution of Academic Freedom](#)
- [Principle Requirement 1.1 Integrity](#)

[Resolution 2016-7. On Endorsing the Report of the Ethics and Integrity Working Group January 2015 Report, Comprehensive Standard 3.7.4 Academic Freedom](#)
[UNC System Policy Manual - Code Section 601](#)
[UNC Trustee Policy - Section 601](#)
[UNC Chapel Hill Mission Statement](#)
[Transcript of Wainstein Report News Conference October 2014, Page 28](#)
[Wainstein Report, page 85](#)
[Carolina Commitment - Reports & Resources](#)
[Ethics and Integrity Working Group Members](#)
[Ethics and Integrity Report and Recommendations, Appendix C](#)
[Ethics and Integrity Working Group Final Report, Page 10](#)
[Ethics and Integrity Working Group Final Report](#)
[Letter from Chancellor Folt Acknowledging the Ethics and Integrity Working Group's Final Report](#)
[Message to Campus Community about Progress of Working Groups](#)
[Ethics and Integrity Website](#)

Comprehensive Standard 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.

SACSCOC Request for Information

In the July 1, 2015 letter from SACSCOC, the University of North Carolina at Chapel Hill was asked to address the following specific requests for information regarding its compliance with this standard:

The institution must provide evidence of the effective operation of the final committee structure and charge of the Faculty Athletics Committee (FAC) as approved by the Faculty Council.

Summary of the University's Response

UNC-Chapel Hill has a long tradition of shared governance through the empowerment of faculty to exercise active responsibility and authority over all academic and governance matters. As the University acted in recent years to address and move beyond the past academic irregularities—all of which ended in 2011—the Faculty Athletics Committee (FAC), an elected committee of the Faculty Council, has played a pivotal and increasingly broader role on behalf of the general faculty in oversight of the University's athletics programs. The substantial evidence set forth below demonstrates how the recent changes to the FAC's structure and charge have enabled the Committee to operate even more effectively as a faculty governance body.

- Since 2012, the FAC has increased its involvement in monitoring and reporting on the integrity and quality of student-athletes' academic experiences and responding to questions from the University community.
- The FAC implemented a sustainable model for supporting a more direct and proactive role in overseeing the educational experiences of student-athletes, which included restructuring its membership and partnering with other campus organizations.
- The Faculty Council recognized the FAC's increased responsibilities by realigning its charge with current expectations for faculty governance in athletics.
- The FAC's current structure and scope support its effective operation as a faculty governance body by enabling faculty to participate more meaningfully in reviewing student-athletes' academic outcomes, examining academic processes, collecting feedback from the University community, and facilitating discussions and reviews of the holistic University experience for student-athletes.

The University is fully confident in the important work of the FAC and its effectiveness in carrying out its charge, and in UNC-Chapel Hill's compliance with Comprehensive Standard 3.7.5.

Actions

Expansion of the Faculty Athletics Committee's Role in Governance and Oversight of Student-Athletes

At the heart of UNC-Chapel Hill's shared governance process is an elected Faculty Council representing the nearly 4,000 faculty members who exercise their responsibility and authority over all academic and governance matters. Through both its elected and appointed committees, the Faculty Council provides strong direction for University policy decisions, as well as monitoring and revising existing academic policies and procedures.

The [Faculty Athletics Committee \(FAC\)](#) is an elected standing committee of the faculty. It is composed of nine faculty members, elected by the voting faculty and one of whom, the Faculty Athletics Representative (FAR), serves *ex officio* ([Faculty Code § 4-7](#)). The FAC's mission is to report to the faculty and advise the Chancellor on any aspects of athletics, including the academic experience of student-athletes and the operation of the University's athletic program.

Over the past four years, and since the academic irregularities ended, the University community, and the general faculty in particular have relied heavily on the FAC to address academic integrity issues, oversee and report on academic processes and outcomes related to student-athletes, and to respond to input and questions from the University community.

The FAC responded to these expectations by expanding the breadth and the depth of its work in nearly all areas. A summary of the FAC's activities each term since fall 2012 reveals the steadily increasing scope of its work across a wide range of topics and issues.

- The FAC reviewed processes, policies, and procedures, and extended its direct involvement in monitoring academic progress and outcomes [by collecting and analyzing data from a variety of sources](#).
- The [FAC collaborated with other campus offices and groups](#) in the design and implementation of the many reforms and initiatives undertaken by the University to address past irregularities and improve processes.
- The FAC increased communications with the faculty and campus community to ensure transparency and encourage input and inquiries through regular presentations to the [Faculty Council](#) and via [open forums with faculty](#).
- The [FAC intensified its focus](#) on examining the quality of the student-athlete's educational experience at UNC-Chapel Hill and on recommending enhancements.

To maintain its effectiveness as its role expanded, the FAC made changes to its internal structure, membership, and processes. The Committee obtained approval from the Faculty Council for a [revision to its official charge](#) in order to increase its number of members and codify the changes that had occurred in its scope over time.

All of this work reflects extraordinary efforts by the FAC to help govern and oversee the University's athletics programs.

Evidence of Effectiveness of FAC Operations

The changes to the FAC's structure over the past four years have contributed greatly to its ability to adapt to the increased scope of its work. The FAC set goals for its work and has exceeded expectations. These operational changes have in fact further increased the FAC's effectiveness in fulfilling its responsibilities for faculty governance and enhancing the academic experience of student-athletes. These initiatives and evidence of their effectiveness are detailed below.

Changes to Member Assignments

Sports Team Assignments

Objective: *To increase FAC members' knowledge about Athletics Department operations and the lives of student-athletes through direct affiliations with teams.*

In 2012, the FAC restructured the roles and assignments of its members to better address its role in upholding academic integrity and assuring that student-athletes have a full academic experience. Each FAC member was assigned to be a liaison to one or more sports teams and to share observations from this involvement with the Committee.

Evidence of Effectiveness: As documented in the [FAC minutes](#), the direct interactions with coaches, staff, and student-athletes provided FAC members with valuable insights into the daily lives of student-athletes and the operations of athletics programs. This information informed committee discussions and monitoring and reporting activities.

Special Topic Assignments

Objective: To increase FAC members' knowledge about the responsibilities and perspectives of various campus offices and staff who work with student-athletes by assigning them to topical sub-groups.

Each FAC member was assigned to a sub-group charged with monitoring and reporting back on specific topics including Academics, Admissions, Advising, and the Student-Athlete Experience. These assignments required FAC members to work closely with staff and administrators to learn about their organizational processes related to student-athletes and any particular challenges for that population. The units included

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.

Evidence of Effectiveness: Over the past three years the communication and cooperation among all of these units have contributed to a much broader understanding of operations, a more comprehensive approach to issue resolution, and better processes to enhance the student-athlete academic experience. As shown in the meeting minutes, the findings from each sub-group on its monitored topic area are reported to the FAC and to any appropriate body or personnel with any recommendations for action or confirmation that goals and expectations are being met. Examples from FAC Minutes include: [FAC Minutes Feb 10, 2015 Advising Topic Discussion](#); [FAC Minutes Apr 14, 2015 Academics Topic Discussion](#); [FAC Minutes Mar 3, 2015 Admissions Topic Discussion](#)

Establishing a Sustainable Model to Support the Faculty Athletics Committee's Expanded Role

During the 2014-15 and 2015-16 academic years, the FAC continued its deliberate and thoughtful examination of topics related to student-athletes and their academic experience at UNC-Chapel Hill. As the former academic irregularities were addressed through the successful implementation of many campus reforms and strong policy and procedure mechanisms, the FAC shifted its focus toward the future. The Committee's priority shifted to proactive approaches to maintaining a campus environment that continuously assesses and enriches the overall educational experience for student-athletes.

In moving beyond its traditional scope of work, the FAC recognized the need to build a sustainable model that would enable it to continue its oversight role, manage its expanded monitoring and reporting duties, and augment the enhancements that have been made to the student-athlete experience going forward. Such a model ensures that the FAC has adequate capacity within its membership to be responsive to questions and topics referred to them from anyone in the University community. In addition, the FAC realized the importance of maintaining the successful collaborations built with other campus offices and organizations.

The FAC made the following process improvements to ensure the Committee's continued effectiveness:

Revised Committee Structure

The [FAC organization](#) as of spring 2016 reflects the following changes made to the group's composition in order to improve its effectiveness.

Appointment of a Vice Chair

Objective: *To add capacity for Committee leadership to focus on new topics suggested by the faculty.*

The FAC added a Vice Chair role in the fall of 2015 to respond to the faculty's heightened interest in national college athletics issues. This allowed the Chair to continue focusing on institutional issues and communications with University constituents.

Evidence of Effectiveness: The Faculty Council passed a [resolution](#) to form a [new group to address collegiate athletics issues](#). The Vice-Chair agreed to be the leader of the newly-formed group that will organize discussion and analysis of national topics that may affect UNC-Chapel Hill and its sports programs. This group is organized by the FAC and includes two FAC members but also includes a member of the student body and four faculty members appointed by the Chair of the Faculty who are not serving on the FAC. The group's work will become a part of the FAC archives to ensure that discussions and recommendations are addressed appropriately. Additional leadership will allow the FAC to be more nimble in facilitating dialogue and addressing new topics viewed as relevant by faculty.

Addition of Student Members

Objective: *To include student-athlete input in FAC discussions.*

In fall 2014, the FAC added a representative from the [Student-Athlete Advisory Council](#) to pose questions on behalf of this group and offer feedback from the perspective of those most affected by the Committee's decisions.

Evidence of Effectiveness: The 2015-16 student-athlete liaison made [valuable contributions](#) to the FAC's exploration of the topic of time commitments of student-athletes. Recognizing the positive impact of student feedback on their discussions, in fall 2015, the FAC recruited a second student liaison to ensure that the views of both male and female athletes were represented.

Additional FAC Members

Objective: *To add capacity to better support new members in assuming their roles and to decrease the review load and team commitments of each member, allowing them to delve more deeply into their respective roles on the Committee.*

Based on the FAC's annual self-assessments of its effectiveness during end-of-year retreats, the Committee determined that it needed more members to manage its assignments. The increased number of issues that the FAC is now expected to address had added significantly to the individual workload and time commitments for the nine faculty members. The FAC voted to add three new members, bringing their total to twelve. The Faculty Council approved the FAC's proposal on February 19, 2016 and added the new member positions to the spring 2016 election slate for appointment beginning July 1, 2016.

Evidence of Effectiveness: A [comparison](#) of the committee member assignments for the 2015-16 year and projected 2016-17 year indicate that the three new members will substantially reduce the workloads of individuals and improve the Committee's overall effectiveness and ability to achieve its objectives.

Revised Committee Charge

Objective: *To better align the FAC's charge with the Committee's current scope of work.*

As the FAC evolved into a better informed and more effective governance body that focused on the overall experiences of student-athletes, members recognized that some elements of its original charge described functions that are no longer assigned, such as oversight for non-student-athlete and faculty/staff athletic and recreation activities, to wit:

(b) 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 community, and the general conduct and operation of the University's athletic program (Faculty Code § 4-7[b]).

In mid-2015, the FAC proposed a revision to the *Faculty Code of Government* to clarify the work of the Committee:

(b) The committee informs and represents the faculty and advises the chancellor on any aspect of athletics, including, but not limited to, the academic and broader University experience for varsity student-athletes and the general conduct and operation of the University's athletic program.

Evidence of Effectiveness: The [revisions](#) made the FAC's charge consistent with its actual activities over the past four years, and codifies the Committee's more recent commitment to assessing student-athletes' experiences from a more holistic perspective. It frees the Committee from obligations to respond to inquiries about non-student-athlete activities, duties which are now more appropriately handled by other campus units.

FAC Integration with the Process Review Group

Objective: *To continue the productive collaboration between the FAC and the former Student-Athlete Academic Initiative Working Group by formally integrating the FAC's reviews of academic processes for student-athletes with those now conducted by the Process Review Group (PRG).*

The FAC worked with the Chancellor's [Student-Athlete Academic Initiative Working Group](#) during its two-year assignment to document and assess academic processes that impact student-athletes. After the Working Group completed its charge in 2015, the Chancellor appointed a new standing committee, the [Process Review Group](#) (PRG), to continue reviewing and ensuring the integrity of these processes and identifying further enhancements. The FAC and PRG have implemented an integrated approach to the reviews of these processes and outcomes that facilitates the flow of information and questions between the two groups. Each FAC member is responsible for collaborating with the PRG to assess specific processes.

Evidence of Effectiveness: The FAC benefits from the data derived and analyzed by the PRG, and

in turn, offers the PRG feedback on academic processes under their consideration. To document the effectiveness of their complementary work, two samples are provided of the [collaboration](#) between the two groups during the initial process review period, and most recently on the [review of processes one through five](#). In addition, the heavy faculty representation across both committees now provides the UNC-Chapel Hill faculty at-large more opportunities to contact members with questions and suggestions concerning student-athlete issues.

Issues Resolution Process

Objective: *To implement a standard process for receiving input on issues from the University community, tracking the status of the issues, and reporting their resolution to the appropriate parties.*

In responding to the proliferation of questions received about student-athletes in recent years, the FAC recognized that it needed an effective mechanism to manage and to respond to new inquiries as they arise. In 2014, FAC members developed an issues resolution process and work flow that permits anonymous or identified input to be submitted from anyone in the University community, tracks the investigation by the FAC, and documents the resolution and/or the FAC's recommendations for improvement to the process owner or responsible people or units.

Evidence of Effectiveness: The [diagram](#) depicts the workflow model for the FAC's issues resolution process. To document the effectiveness of this process, a recent [example](#) of an inquiry considered by the FAC has been mapped from the time of receipt to the upcoming final resolution. In addition, this process will result in a log as part of the new software that can be reviewed over time to identify recurring issues or to assess trends in the volume of questions received over time. The large number of reforms, along with increased awareness and education among all community members including the student-athletes, may have contributed to why the FAC has not received many requests for issue resolution.

Participation in Annual Monitoring and Review Cycles

Objective: *To ensure direct oversight of academic achievement outcomes of student-athletes through direct participation in formal University monitoring and review procedures.*

The [FAC's members](#) are now well represented on faculty/staff committees assigned to monitor and to analyze data on student-athlete academic achievement in relation to non-student-athletes. These groups meet on an established schedule (annually or each semester) to review data on admissions, course clustering, major selection, eligibility, and progress toward degree and to review prepared responses for external accountability reports to be submitted to the University's Board of Trustees and the UNC System Board of Governors. These results provide the ability to examine multi-year trends that the FAC shares with relevant academic, administrative, and service units. The schedule for these analyses has now been aligned to coincide with the PRG process reviews.

Evidence of Effectiveness: The [inventory](#) illustrates the regular monitoring and review processes

that have been in place for the past few years. FAC minutes for the last four years document active participation in the monitoring and review of important issues related to student-athletes.

Focus on the Holistic University Experience for Student-Athletes

Objective: *To broaden the FAC's focus on the academic success of student-athletes to consider other dimensions and outcomes of their educational experience at UNC-Chapel Hill.*

In light of the strong and effective measures that have been put into place to prevent recurrences of the academic irregularities that ended in 2011, the FAC has shifted its strategic focus somewhat for 2015-16. Instead of reacting to specific challenges by developing corrective action plans, the FAC has moved toward a proactive model of continuous quality improvement. Concurrently, the FAC is examining the student-athlete's experience at UNC-Chapel Hill from a more holistic perspective, consistent with the change made in its official charge in 2015. The FAC's discussions of needs, concerns, and potential improvements have included reflections on ways in which the student-athlete experience is similar and dissimilar to that of non-student-athletes. For example, data from focus groups that the FAC has conducted with student-athletes identified obstacles to their participation in external programs such as study abroad and internships.

Evidence of Effectiveness: Documentation from the FAC's annual self-assessment retreats is provided to demonstrate the Committee's renewed and enhanced attention to examining qualitative and other measures of the total educational experience of student-athletes. In addition, the FAC's minutes throughout the previous four years show evidence of their discussions and current plans and actions related to this theme. (Please see the [FAC Minutes May 5, 2015 Retreat Discussion of Student-Athlete Performance](#) as well as the [FAC Minutes May 17, 2013 Retreat Discussion of the FAC Direction Including Enhancing Student-Athlete Experience](#).)

Conclusion

In the wake of past academic irregularities, the University's Faculty Athletics Committee responded to increased needs for faculty governance over athletics by expanding the scope of their work in monitoring academic processes and the quality of student-athletes' educational experiences while maintaining transparency in communicating with the campus. The University has complete confidence in the integrity of its athletics programs, including the many academic services provided to student-athletes, in no small part because of the sound governance and oversight efforts of the FAC.

References

[Faculty Athletics Committee \(FAC\)](#)

[Faculty Code § 4-7](#)

[Analysis of Admissions Data and Academic Outcomes, Joint Meeting with Undergraduate Admissions](#)

Committee, FAC Minutes Oct 13, 2015
Student-Athlete Advising System Changes Discussion - FAC Minutes Feb 5, 2013
Faculty Council Meeting Dec 2014
FAC Open Forums Listening Session Nov 11, 2014
FAC Summary of 2015 Student-Athlete Advisory Council Focus Group Discussions
Faculty Council Resolution Passed Feb 19, 2016
Team Liaison Report - FAC Minutes Nov 11, 2014
Advising Topic Discussion - FAC Minutes Feb 10, 2015
Academics Topic Discussion - FAC Minutes Apr 14, 2015
Admissions Topic Discussion - FAC Minutes Mar 3, 2015
Spring 2016 FAC Structure and Responsibilities
Faculty Council Resolution on Campus Discussions on College Sports
Agenda for Collegiate Sports Campus Discussions Group
Student-Athlete Advisory Council
SAAC Representative Participation - FAC Minutes Nov 10, 2015
Comparison of FAC Functions from Nine Members to Twelve Members
Student-Athlete Academic Initiative Working Group (SAAIWG) - APSA Website
APSA Process 21.2 - Process Review Group Responsibilities
Collaboration with Process Review Group - FAC Minutes Nov 10, 2015
Collaboration with Process Review Group on Process Review of 1 through 5 - FAC Draft Minutes Feb 9, 2016
Procedure for FAC Input, Review, and Outcome
Issue Resolution Example
Inventory of Participation in Review Processes and Collaboration with Campus Units
Retreat Discussion of Student-Athlete Performance - FAC Minutes May 5, 2015
Retreat Discussion of FAC Direction Including Enhancing Student-Athlete Experience - FAC Minutes May 17, 2013

FEDERAL REQUIREMENTS

4.7 Title IV program responsibilities

Federal Requirement 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.

SACSCOC Request for Information

In the July 1, 2015, letter from SACSCOC, the University of North Carolina at Chapel Hill was asked to address the following specific requests for information regarding its compliance with FR 4.7 Title IV Program Responsibilities:

The University must provide evidence of the effectiveness of its new Title IV Satisfactory Academic Progress (SAP) process put in place for the 2014-15 academic year.

Summary of University's Response

Monitoring students' academic progress toward graduation is critical for ensuring that federal financial aid funds are appropriately used to support students who are likely to complete their studies. This response demonstrates that the University is fully compliant with its program responsibilities under Title IV of the Higher Education Act, including the administration of a Satisfactory Academic Progress (SAP) policy that meets U.S. Department of Education regulations.

- The University has in place a comprehensive Satisfactory Academic Progress (SAP) policy that is compliant with U.S. Department of Education standards. The University's new SAP policy was first implemented in 2014-15 (prior to the state and federal audits) and is now in its second year. Compliance is documented by the Office of the State Auditor in an [audit resolution letter](#) dated August 27, 2015.
- The new SAP process, successfully implemented in 2014-15, includes regular communications to students describing the minimum academic standards they must meet for financial aid eligibility, the way in which SAP is calculated, and the consequences of failing to meet these requirements.
- Evidence demonstrates that the new process is effective in achieving the intended outcomes of the SAP policy. Regular monitoring procedures identify all students who are not making Satisfactory Academic Progress as defined by federal standards. The University takes timely action to notify students of their pending or actual ineligibility for receiving financial aid, advises them concerning their options for regaining eligibility, and removes access to financial aid for students who no longer qualify.

Actions

Background and Status Update

Throughout its history, the University has maintained a single policy to define academic progress for undergraduate students regardless of their receipt of financial aid. The events leading to the University's development and implementation of a new Title IV Satisfactory Academic Progress are set forth below. The University is confident that its new SAP complies fully with all applicable federal regulations.

State Audit. During July 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 administered during the 2013-14 fiscal year. The [State Auditor](#) found not only that the University's Satisfactory Academic Progress (SAP) policy did not meet all federal requirements, but also that control improvements were necessary over the reporting of Direct Loan reconciliations. Carolina responded by preparing a Corrective Action Plan (CAP) and filing that plan with the State Auditor. The University then implemented the CAP to the full satisfaction of Internal Audit and the State Auditor. The University has since received its [State Audit Resolution Letter](#), a copy of which Carolina promptly provided to SACSCOC. The Office of the State Auditor recently determined and published that: "Full corrective action has been taken, however, awaiting management decision from the US Department of Education."

General Information Regarding the Administration of Federal Student Aid. The University is certified to participate in federal student aid programs as set forth in its Program Participation Agreement (PPA) issued by the U.S. Department of Education. The University's [fully executed PPA](#) remains in force through March 17, 2017. The new certification process will commence later this year. The University is unaware of any pending litigation regarding its Title IV program administration. The University has no assessed outstanding liabilities owed to the U.S. Department of Education related to its administration of the Title IV programs.

Federal Program Review of Federal Student Aid. The Department of Education performed an on-site Program Review of its administration of Title IV student aid programs during the month of August 2014. The University received a notice of preliminary findings, to which the campus responded on December 18, 2014. 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) when it is issued. The Department of Education then requested supplemental student information in March 2015, which the University provided promptly. There has been no further contact from the Department; the Program Review remains open.

Satisfactory Academic Progress Policy

Prior to the 2014-15 academic year, University-wide standards for academic eligibility determined continued eligibility for enrollment; students who were not permitted to re-enroll then were not able to

receive Title IV and other financial aid. The monitoring processes for academic eligibility 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 was fully implemented with the first enforcement action following the spring 2015 semester.

Development of a New Satisfactory Academic Progress Policy

UNC-Chapel Hill's previous policy that defined academic progress for all undergraduate students, regardless of financial aid status, required students to maintain a cumulative 2.0 grade point average and complete a minimum number of credit hours by the end of each semester in residence to remain academically eligible to continue their enrollment.

Based on guidance from the U.S. Department of Education's [Federal Student Aid Handbook](#), the UNC-Chapel Hill Office of Scholarships and Student Aid in early 2014 developed a [new Satisfactory Academic Progress policy](#) that addressed deficiencies in relation to current federal regulations ([34 CFR 668.34](#)). This policy included an additional standard and incorporated certain other pieces of required consumer information the Department considers necessary.

- The new policy added a standard absent in the former policy, which defined the rate at which students must progress through their programs to graduate within the maximum timeframe (i.e., 150% of the length of the program). UNC-Chapel Hill's policy stipulates that to remain eligible for financial aid, students must successfully complete at least two-thirds of the total credit hours attempted to remain eligible for financial aid.
- The following elements of consumer information not specifically addressed in the prior policy were added:
 - A description of how course incompletes, repeats, withdrawals, and transfer credit from other institutions figure into the Grade Point Average (GPA) and completion rate calculations that determine eligibility.
 - A description of the University's process for notifying students of the results of the evaluation of their academic progress and their continued eligibility or suspension of federal financial aid.

Implementation Process for the 2014-15 Academic Year

Administration of the new Satisfactory Academic Progress policy and procedures is the responsibility of the Office of Scholarships and Student Aid. As required by federal regulations ([34 CFR 668.16\(e\)](#)), the Office published the new SAP policy on its website in May 2014. The policy applies to all types of financial aid, including federal aid.

FEDERAL REQUIREMENTS 4.7

Title IV Program Responsibilities

With the fall 2014 semester, the Office of Scholarships and Student Aid implemented the SAP process with a series of academic progress evaluations, communications to students, and actions taken in response to monitoring efforts. Under UNC-Chapel Hill's policy, all undergraduate students are reviewed each year, consistent with federal regulations, since even those not currently receiving financial aid might apply later. However, only those students currently in the University's financial aid system receive formal notifications regarding their financial aid status and/or ineligibility.

The 2014-15 academic year timeline implemented for SAP communications and evaluations is outlined below:

August 15, 2014 - Beginning of 2014-15 Academic Year

- Delivered an [email to all enrolled undergraduate students](#) informing them of the new policy.

November 4, 2014 - One Month before Last Day of Fall Classes

- Identified all undergraduate students achieving below standards and sent a [targeted communication warning](#) them of the new policy. These students were provided with their current cumulative GPA and enrollment history of attempted and completed hours.
- A total of 150 students who had been enrolled in the prior 2014 spring semester and still enrolled in fall 2014 were notified. These were [courtesy notices](#) since aid eligibility is determined only once annually, at the end of the spring semester.

December 16, 2014 - End of Fall 2014 Semester

- Identified all undergraduate students below the standard following fall 2014 grades; sent [another targeted communication](#) warning of repercussions.
- A total of 409 students were notified that they would be ineligible for financial aid after spring 2015 if they did not meet the published standards. These included new students who entered UNC-Chapel Hill in fall 2014 in addition to the 150 who received the November notice.

April 20, 2015 - One Month before Beginning of Summer Session

- Identified all students close to or below the minimum standard and registered for the upcoming summer session; [invited these students to submit an early appeal](#) pending spring 2015 grades. This was done to give students ample time to appeal prior to Summer School enrollment, and to signal that they may need to plan to leave the University if an appeal were not successful.
- Students whose appeals were approved received institutional aid for summer enrollment so they could retain probationary eligibility in the upcoming fall 2015 semester.

- A total of 137 students were notified that they were ineligible for financial aid. (This is a subset of the larger population since it included only those enrolling for summer session.)

May 12, 2015 - Official Annual Review of All Students at End of Spring 2015 Semester

- A total of 903 undergraduate students (350 of whom were financial aid recipients) were identified as falling below the SAP standards.
- Notifications of financial aid ineligibility were sent only to those students with financial aid who were enrolled in the 2015 spring term. Students were informed about their rights to appeal in the event of unusual circumstances.

Outcomes and Evidence of Effectiveness

Over the summer of 2015, the Office of Scholarships and Student Aid considered the effectiveness of the 2014-15 academic year implementation of its new SAP process and the results in relation to the intended outcomes. The primary desired outcome is full compliance with what is required under federal regulations. The following evidence documents the success of the SAP process in fulfilling the goals of the federal regulations for proper disbursement of financial aid funds and supporting the University's own efforts to promote timely progress toward graduation.

UNC-Chapel Hill's financial aid SAP policy is compliant with U.S. Department of Education regulations. The new process brought the University into full compliance with federal regulations by adding the remaining elements required for a reasonable SAP policy (34 CFR 668.34). This was confirmed by the August 27, 2015 letter from the North Carolina State Auditor indicating that the University had satisfactorily addressed deficiencies identified in a March 2015 preliminary report from an audit of the 2013-14 academic year.

Students are aware of the SAP standards and the implications for their financial aid eligibility. The Office of Scholarships and Student Aid's dedicated web page and comprehensive schedule of communications educated students about the new policy, the calculations used to assess academic progress, and the potential impact on their continued eligibility for financial aid. The relatively large number of appeals received and reviewed, as described above, is evidence of students' awareness.

The annual evaluation process employs all three of the measures specified in the University's new policy to determine Satisfactory Academic Progress. In May 2015, the Office of Scholarships and Student Aid conducted the official annual review of SAP using the metrics included in the new policy to comply with federal regulations: grade point average of 2.0, completion rate of two-thirds of attempted hours, and maximum timeframe of 150%.

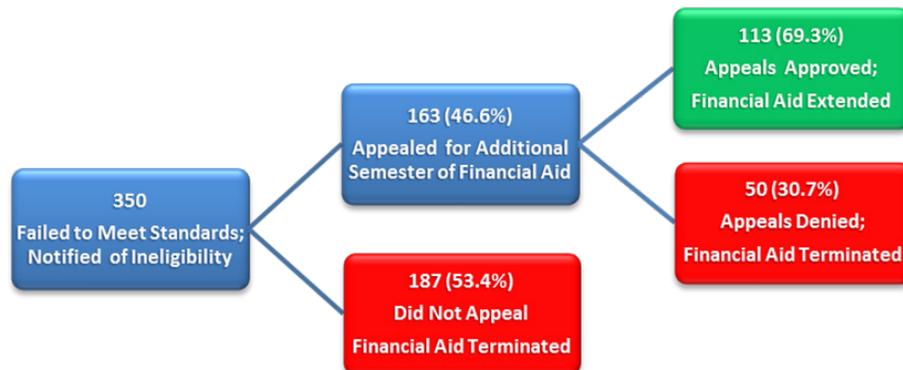
Of the 903 students below one or more of the standards, a total of 350 were financial aid recipients. These results document that the University used all three required measures, including the new

completion rate metric added to the policy in 2014, to determine the financial aid eligibility of individual students.

Ongoing monitoring processes enable the University to provide timely notifications and advice to students who are close to or failing to meet the standards. Staff in the Office of Scholarships and Student Aid monitor student academic progress on an ongoing basis and proactively send courtesy warnings throughout the year to students who are failing, or close to failing, SAP standards. In addition, the staff contact ineligible students immediately after the formal annual review of SAP to advise them about appeal processes and other steps they could take to regain eligibility for financial aid. Nearly half of the students who became ineligible in May 2015 took advantage of the Office of Scholarships and Student Aid’s timely information and support to [appeal for an extension of their financial aid](#), suggesting that the ongoing monitoring and outreach efforts are effectively guiding students in maintaining their academic progress.

The Office of Scholarships and Student Aid acts in accordance with the goals of federal SAP regulations by protecting financial aid funds for use only by those who are making satisfactory progress toward graduation. The figure below documents that the University is actively enforcing its new SAP policy by removing financial aid from students who do not meet the standards. A total of 163 of the 350 financial aid recipients who failed at least one of the measures during the annual SAP evaluation in May 2015 appealed for a one-semester extension of financial aid through fall 2015. The Office of Scholarships and Student Aid approved 113 of these appeals. The other 50 students had no basis for appeal and, per federal regulations, were no longer eligible for financial aid. The official SAP policy describes ways in which they could enroll, without financial aid, and attempt to regain aid eligibility. Including the 187 students who did not appeal their ineligibility, the University terminated financial aid for 237 students (3% of our aided population, and 1% of the undergraduate population) who failed to meet the standards in the process of enforcing the new SAP policy.

**Enforcement of SAP Policy Following Annual Evaluation, May 2015
(Financially Aided Students)**



Improvements Made in Response to Assessment of the SAP Implementation

The University's new SAP process is now in its second year. Beyond ensuring the effectiveness of the SAP policy in fulfilling its objectives, the Office of Scholarships and Student Aid made several process improvements based upon its assessment of the 2014-15 implementation.

- **Modified frequency of communications with students.** The Office of Scholarships and Student Aid continues to inform students about the SAP policy and implications for financial aid eligibility. Both new and continuing students received an [announcement at the beginning of the 2015-16 academic year](#), and those who fell below the SAP standards at the end of fall 2015 will [receive a notice as well](#). However, feedback from staff indicated that the policy is no longer new to continuing students, so for 2015-16 they reduced the overall number of communications sent since the inaugural year.
- **Adjusted monitoring schedule.** The University simplified the SAP process for students and staff by altering the monitoring schedule for 2015-16. The official annual measurement of student progress will take place at the end of summer 2016, rather than the end of the spring semester. The Office of Scholarships and Student Aid will send a courtesy warning to those below the standard at the end of spring 2016, and the final official notice of ineligibility after incorporating Summer School grades and credit hours. This shift will permit the full SAP process to conclude at the true end of the academic year and enforcement of the policy to occur at the beginning of the next academic year.

Conclusion

This University is fully confident in the sufficiency, compliance, and sound implementation of its new Satisfactory Academic Progress policy. The Office of Scholarships and Student Aid has diligently implemented the new SAP through an organized series of thoughtful communications with students and systematic, ongoing academic monitoring procedures. Evidence from the inaugural 2014-15 academic year demonstrates that the process is effective in achieving the intended outcomes of the federal regulations to identify and correctly cease disbursement of financial aid to any students not achieving satisfactory progress.

References

[State Audit Resolution Letter - UNC Chapel Hill](#)
[State Audit Report Federal Compliance Audit 2014](#)
[State Audit Letter](#)
[Program Participation Agreement](#)
[Pre 2014-2015 SAP Policy](#)

FEDERAL REQUIREMENTS 4.7

Title IV Program Responsibilities

New Title IV SAP Policy (Office of Scholarships & Student Aid Website)

Federal Student Aid Handbook, Volume I, Chapter I, pages 9-13

New Satisfactory Academic Progress Policy

34 CFR 668.34

34 CFR 668.16(e)

SAP Email Announcement to All Enrolled Students, Aug 2014

SAP Email Warning to All Students Below Standards, Nov 2014

SAP Second Email Warning to All Students Below Standards, Dec 2014

SAP Email Invitation to File Early Appeal, Apr 2015

SAP Email Notifications of Financial Aid Ineligibility, May 2015

SAP Example Letter of Appeal

SAP Fall 2015 Announcement

SAP Fall 2015 Notice

Office of the Chancellor

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THE UNIVERSITY
of NORTH CAROLINA
at CHAPEL HILL