




**DEVELOPMENT OF COMPLIANCE
CERTIFICATION REPORT:
Lessons Learned**

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Agenda

- Compliance Certification Report: An Overview
- Helpful Hints to Develop Compliance Certification Report
 - Process
 - Content
 - Presentation and Documentation
 - Review
- Questions and Discussion

COMPLIANCE CERTIFICATION REPORT: A brief overview

Compliance Certification Report

A document completed by the institution that demonstrates its judgment of the extent of its compliance with each of the Core Requirements (CR), Comprehensive Standards (CS), and Federal Requirements (FR)

Compliance Certification Report: Components

- Internal assessment of compliance with:
 - 12 Core Requirements (level of development)
 - 14 (*multi-sectional*) Comprehensive Standards (level of accomplishment)
 - 7 Federal Requirements
- Documentation of Compliance
- Evidence Supporting Institutional Claims of Compliance

How New “Principles” Differ from Old “Criteria”?

- 400+ “Must” and “Should” statements are replaced with <100 Core and Federal Requirements and Comprehensive Standards
- Emphasis in *Principles* is placed on more subjective analysis of best practices
- Determination of compliance is frequently more subjective with *Principles*
- Responsibility is with institution to “make its case” with regard to compliance
- New process – constantly changing and evolving

Ten Most Frequent Non-Compliance Off-Site Findings (Carter, Johnson, & Gibbs, 2007)

1. Faculty competence, 3.7.1 = 89%
2. College-level competencies, 3.5.1 = 72%
3. Academic program approval, 3.4.1 = 67%
4. Financial resources, 2.11.1 = 66%
5. Institutional effectiveness, 3.3.1 = 63%
6. Evaluation of administrators, 3.2.10 = 54%
7. Consortia / contracts, 3.4.7 = 42%
8. Institutional effectiveness, 2.5 = 40%
9. Faculty evaluation, 3.7.2 = 37%
10. Physical facilities, 3.11.3 = 36%

Recurring Reasons for Compliance Decisions

November 2007 Off-Site Committees

(Carter, Johnson, & Gibbs, 2007)

1. Sufficiency of documentation
2. Analysis
3. Quality of writing
4. Accessibility of documentation
5. Relevance of documentation
6. Organization of report
7. Report addressed the requirement
9. Verification needed
9. Implementation

Compliance Certification Report: Overarching Themes

- Integrity
- Relevance to the mission of the institution
- Focus on student learning outcomes
- Documentation (“weight of evidence” / “pattern of evidence”)
- Utilization of assessment data for continuous quality enhancement

**HELPFUL HINTS TO DEVELOP
COMPLIANCE CERTIFICATION REPORT:
Lessons learned**

Straight From the Horse's Mouth

- SACS website
 - www.sacscoc.org
- Publications
 - Principles of Accreditation
 - <http://www.sacscoc.org/pdf/2008PrinciplesofAccreditation.pdf>
 - Handbook for Reaffirmation of Accreditation (Blue Book)
 - <http://www.sacscoc.org/pdf/handbooks/Exhibit%2027.ReaffirmationOfAccreditation.pdf>
 - **Resource Manual** (Green Book)
 - <http://www.sacscoc.org/pdf/handbooks/Exhibit%2031.Resource%20Manual.pdf>
- Meetings
 - SACS-COC Annual Meeting
 - Institute on Quality Enhancement and Accreditations

Helpful Hints to Develop Compliance Certification Report: Lessons Learned

I. Process

II. Content

III. Presentation and Documentation

IV. (Self)-Review



I. Development of Compliance Certification Report: Process

I. Process Hints

I. 1 Start earlier than you think you need

- Understand and interpret standards
- Make a preliminary assessment of compliance
- Begin to work on identified deficiencies
- Determine the types of evidence that will be needed to support the assertion of level of compliance
- Collect or develop additional required evidence to support the assertion
- Develop, review, and vet narratives *and* evidence
- Prepare online submission system

I. Process Hints (Cont'd)

I. 1 Start earlier than you think you need (Cont'd)

I.1.1 Start immediately (0-10) with areas requiring long-term documentation/implementation/correction timeline to present *pattern of evidence*

- Program Outcomes Assessment
 - 3 years are needed to complete just one full assessment cycle!
- Quality of Curriculum
- Faculty Qualifications

I. Process Hints (Cont'd)

I. 1 Start earlier than you think you need (Cont'd)

I.1.2 Start *at least* three years (0-3+) prior to the CC Report due date with

- Compliance Certification Readiness Audit (mock compliance report)

AND

- Substantive Change Compliance (CS 3.12)
 - <http://www.sacscoc.org/SubstantiveChange.asp>
 - SACS Policies Compliance Audit (CS 3.13)
 - <http://www.sacscoc.org/policies.asp>
- So that your Leadership Team comes prepared to ask meaningful questions at SACS orientation two years prior to reaffirmation

I. Process Hints (Cont'd)

I.1 Start earlier than you think you need (Cont'd)

I.1.3 Start three years (0-3) prior to reaffirmation with

- An institution-wide campaign to educate campus about the reaffirmation process (with special emphasis on learning outcomes assessment, faculty qualifications, and curriculum)
- Establishment of Compliance Certification Committee and subcommittees (e.g., Educational programs, Faculty, Governance and administration, Student support services, Library and academic support services, Institutional effectiveness, Finance/business/facilities)

I. Process Hints (Cont'd)

I.1 Start earlier than you think you need (Cont'd)

I.1.4 Start two years (0-2) prior to the CC Report due date with

- Designing campus reaffirmation of accreditation website
- Working on Compliance Certification Report
 - Develop Compliance Certification Report Responsibility Matrix (for each CR/CS/FR – lead writers, reviewer(s), sign off)
 - Develop *Writing/Editorial/Formatting Guidelines*
 - Identify/develop electronic means of collaboration, communication, compiling and editing (e.g., Microsoft SharePoint)
 - Develop initial drafts of narratives

I. Process Hints (Cont'd)

I.1 Start earlier than you think you need (Cont'd)

I.1.5 Start one year (0-1) prior to the CC Report due date with

- Vetting and editing report narratives
- Embedding evidence in the narratives
- Posting the report narratives on the websites
- Developing CD, DVD, flash drives with electronic version of the report
- Designing print version and printing copies of the report

I. Process Hints (Cont'd)

I.1 Start earlier than you think you need (Cont'd)

I.1.6 Invite your SACS staff person for an advisory site visit 4-8 months prior to the date Compliance Certification Report is due (but communicate frequently during the whole process!)

I. Process Hints (Cont'd)

I.2 Ensure visible and present support from executive leadership

- Educate Leadership Team
- Provide regular progress briefs

I.3 Keep open communication with your SACS staff member (SACS campus liaison or President)

- The only stupid question is the question not asked
- Share the good, the bad, and the ugly
 - Ensure no surprises during the off-site/on-site review

Process Hints (Cont'd)

I.4 Form a core group of “worker bees” (*in addition to the Leadership Team, Compliance Certification Committee, and QEP Committee*)

– Members

- Limited, manageable size
- Academic affairs, institutional research/assessment, OIT/webmaster

– Qualities / Complementary skills

- Organized, analytic, technology-savvy, good writing skills, good interpersonal skills

– Authority

- Clear charge, access to leadership

II. Development of Compliance Certification Report: Content

Content: Basic Assumption

- The peer reviewers and SACS staff members will have limited knowledge of the institutional context, have little or no time to search for information, and will take what is written at face value
 - will not figure out what was meant
 - will not search for other information to fill in what was left out
 - will not be able to seek clarification
- In other words, **the compliance certification narrative must speak for itself and must explicitly address all components of CR/CS/FRs.**

Content: Readiness Audit Questions for Compliance Certification Committees

1. What are the focal points of your assigned Requirements/Standards?
2. What are the concerns of off- and on-site reviewers regarding your assigned Requirements/Standards?
3. How have other institutions addressed your assigned Requirements/Standards?
4. What SUNO policies and/or official procedures apply to these Requirements/Standards?
5. What is the common practice at SUNO concerning these Requirements/Standards?

Content: Readiness Audit Questions for Compliance Certification Committees

6. Have any recent reviews been conducted concerning these Requirements/Standards?
7. Do you have any recommendations for improvement of your review topic? If so, who should be involved?
8. Are there other policies and procedures that are needed to document compliance with this topic?
9. Is there other evidence such as records, survey results, reports, etc. that are needed to document compliance with this topic?

II. Content Hints

II. 1 Interpretation of SACCS standards and requirements

II. 2 Selected difficult/complex areas

II.1 Content Hints: Deconstruction and Interpretation

- Many Requirements and Standards are very complex and often vaguely stated
 - Begin analysis by careful interpretation of the CR/CS/FRs to understand each aspect and what information and data must be assembled to document compliance (SACS , 2004)
 - **Consult the *Resource Manual (Green Book) !!!***
 - If not sure how to interpret a standard, ask your SACS staff

II.1 Content Hints: Deconstruction and Interpretation

- Examine Compliance Reports from other institutions
- Examine Off-Site Committee Reports
- Examine Focused Reports
- Interpret these reports in the context of your institution to further deconstruct standards, identify best practices, and avoid common problems

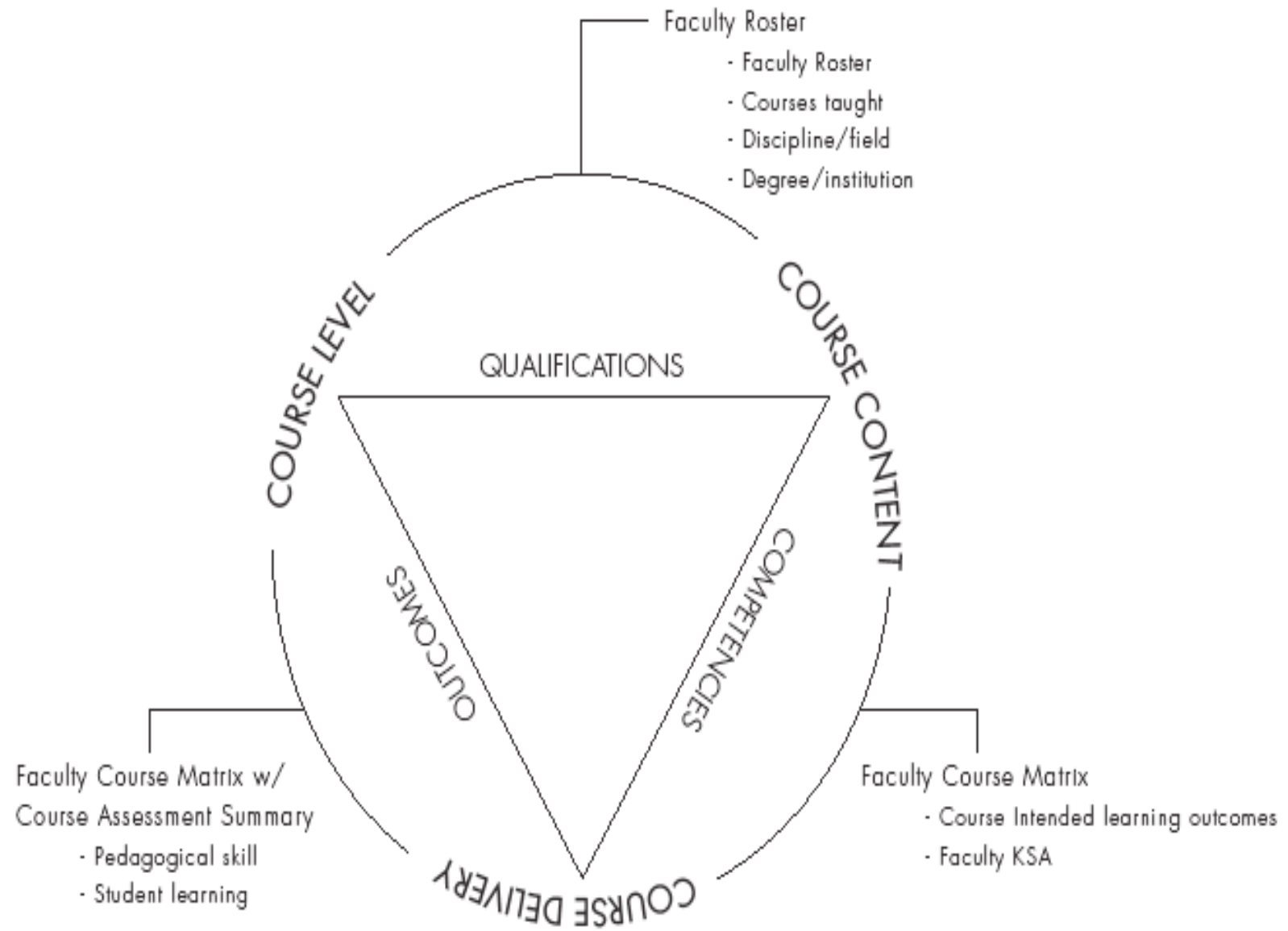
II.1 Content Hints: Deconstruction and Interpretation

- Deconstruct SACS Standards and Requirements in the Context of your Campus
- E.g., “The institution employs competent faculty members qualified to accomplish the mission and goals of the institution. When determining acceptable qualifications of its faculty, an institution gives primary consideration to the highest earned degree in the discipline. The institution also considers competence, effectiveness, and capacity, including, as appropriate, undergraduate and graduate degrees, related work experiences in the field, professional licensure and certifications, honors and awards, continuous documented excellence in teaching, or other demonstrated competencies and achievements that contribute to effective teaching and student learning outcomes. For all cases, the institution is responsible for justifying and documenting the qualifications of its faculty.” (CS 3.7.1)

Degree Credentials \neq Competence

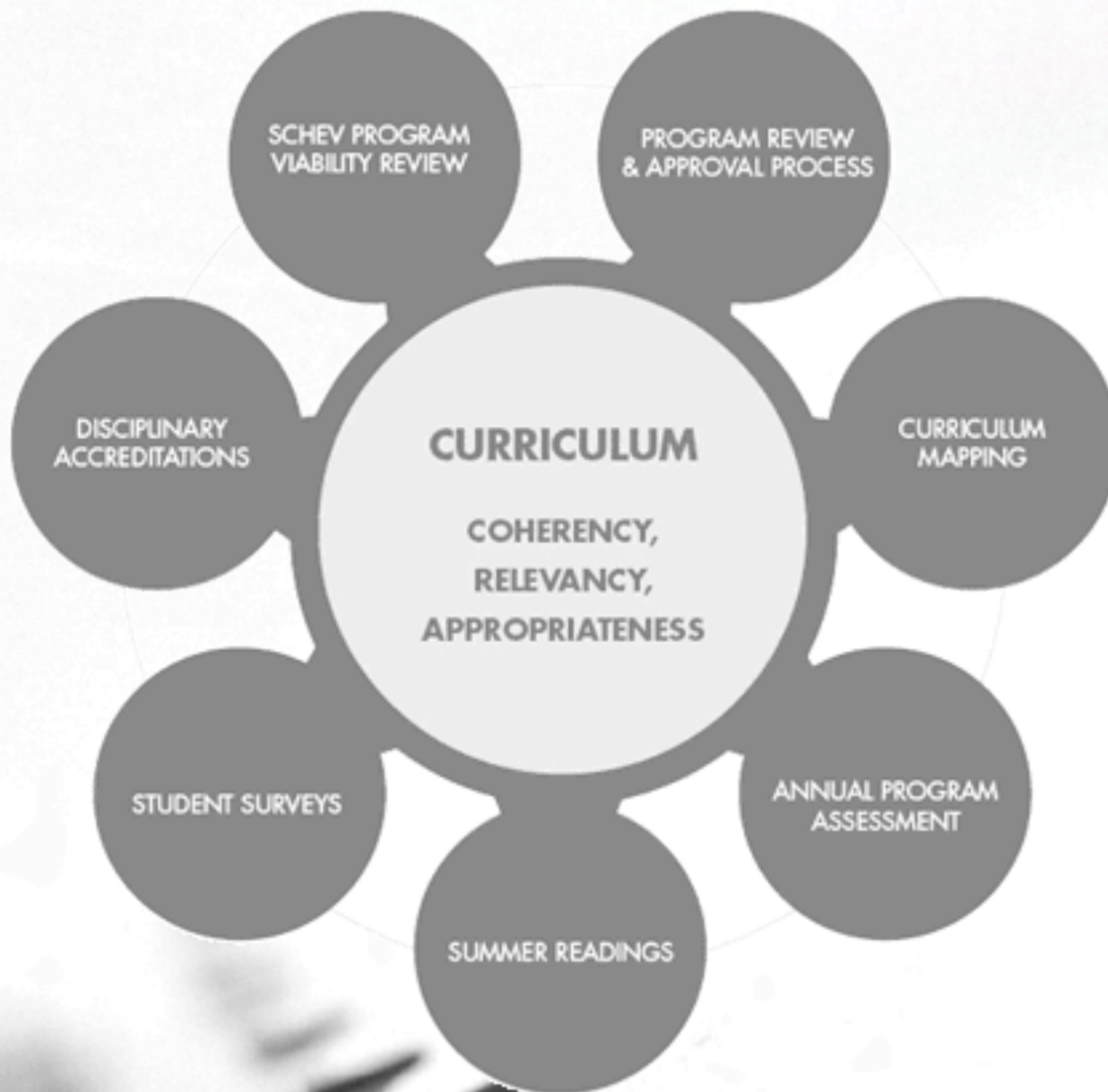
“However, it appears no audit of compliance has been done and therefore the supporting documentation regarding this standard is limited to the rosters themselves. Faculty competencies beyond credentials are not documented” (SACS reviewer’s comment)

HOW TO ADDRESS CS 3.7.1: EPPL 613 PERSPECTIVE



II.1 Content Hints: Deconstruction and Interpretation

- Interpret SACS Standards and Requirements in the Context of your Campus
- E.g., “The institution offers 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.” (CR 2.7.2)



II.2 Content Hints: Selected Difficult/ Complex Areas

- **II.2.1 Faculty Qualifications**
 - Qualifications and **course outcomes** must be directly connected
 - Documentation and **justification** are necessary

II.2 Content Hints: Selected Commonly Cited Problem Areas

II.2.1 Faculty Qualifications

- Documentation
 1. Faculty Roster
 2. Faculty Qualifications / Course Outcomes Matrix
 3. Faculty Portfolio
 - Course syllabus (course goals and outcomes)
 - Original Transcripts (undergraduate and graduate)
 - Certificates
 - CV (with consulting projects, work experiences, publications, etc.)
 - Reference/Support Letters
- Can be combined in an online database

II.2 Content Hints: Selected Difficult/ Complex Areas

II.2.2 Curriculum

- Curriculum *structure and coherence*
 - CR 2.7.1-4, CS 3.4.7, CS 3.4.10, CS 3.5.1-3, CS 3.6.1-4, FR 4.2, FR 4.3
 - Program Structure Matrix
 - Program Curriculum Map
- Curriculum *approval*
 - CS 3.4.1, CS 3.4.10, CS 3.5, CS 3.6, CS 3.7.5
 - Well-articulated and documented curriculum approval process

Sample Program Length and Structure Matrix

Program Title	Degree Designation	Program Length	Academic Level	UG General Education Core Credits	UG Major Core Course Hours	GR Core Credits	Restrictive Elective Hours	Free Elective Hours
ASSOCIATES DEGREE PROGRAMS								
Architectural Drafting	AS	64	UG	22	24			16
Nursing	AS	72	UG	30	42			
BACHELORS DEGREE PROGRAMS								
Accountancy	BS	121	UG	40	51		27	3
Biology	BS	120	UG	42	50			28
Building Construction Technology	BS	121	UG	40	45		30	8
Business	BS	121	UG	40	51		27	3
Business Education	BS	121	UG	40	51		27	3
Chemistry	BS	120	UG	40	74			8
Computer Science	BS	120	UG	42	75			3
Computer Technology	BS	120	UG	40	58		18	8
Design Technology*	BS	120	UG	40	49		31	
Early Childhood Education	BS	120	UG	40	87			13
Electronic Technology	BS	120	UG	40	38		41	3
Electronics Engineering	BS	128	UG	42	80		6	
English	BA	120	UG	40	85			15
Exercise Science/Physical Education	BS	120	UG	40	80			
Fine Arts & Graphic Design	BA	120	UG	40	82			18
Health Services Management	BS	120	UG	42	75			3
History	BA	120	UG	40	83			17
Interdisciplinary Studies	BS	120	UG	40	83			17
Journalism	BA	120	UG	40	39		26	15
Mass Communications	BS	120	UG	40	39		26	15
Mathematics	BS	120	UG	42	58		15	5
Medical Technology	BS	121	UG	41	79			
Music Education	BMUS	129	UG	42	80		27	
Nursing**	BS	64	UG	27	24			3
Optical Engineering	BS	127	UG	42	80			8
Physics	BS	120	UG	40	70			10
Political Science	BA	120	UG	40	82			18
Psychology	BA	120	UG	40	81			18
Sociology	BA	120	UG	40	45		12	23

*No new students are being accepted into the program.

**Student receive the AS degree in Nursing or equivalent before being accepted into the BS program.

SAMPLE CURRICULUM MAP - GENERAL EDUCATION CORE

SEMESTER: SPRING 2005		SELECTED GENERAL EDUCATION OUTCOMES																				
LEGEND	GENERAL EDUCATION CORE COURSES	1. WRITTEN COMMUNICATION Student is able to produce texts appropriate for their purposes and audiences as reflected in: (a) Form; (b) Organization; (c) Content development; (d) Language usage and style (syntax, vocabulary, grammar, and mechanics).			2. INFORMATION TECHNOLOGY LITERACY Student is able to: (1) Use and apply computers, software applications, and other resources to achieve a wide variety of academic, professional, and personal goals; (2) Use a set of abilities to solve problems, collect data, manage information, communicate with others, create effective presentations, and use information to make informed decisions.			3. SCIENTIFIC REASONING Student is able to: (1) Propose relationship between observed phenomena; (2) Design experiments which test hypotheses concerning proposed relationships; (3) Predict logical consequences of observed phenomena and determine possible alternative outcomes; (4) Judge the degree to which a particular conclusion is justified based on the empirical evidence related to observed phenomena.			4. QUANTITATIVE REASONING Student is able to solve problems within: (1) Numeric or arithmetic contexts; (2) Conceptual contexts; (3) Geometric contexts; (4) Data representation and chance element contexts.			5. CRITICAL THINKING Student is able to consistently and systematically: (1) Identify main ideas and/or themes; (2) Make comparative judgments from data; (3) Determine the validity/credibility and implication of a supposition; (4) Identify limitations and contradictions in an event; (5) Analyze and evaluate arguments and issues; (6) Demonstrate creative problem-solving skills; (7) Implement and evaluate a plan to work towards a goal or conclusion.			6. ORAL COMMUNICATION Student is considered to have oral communication competency if he or she is able to express him or herself in a structured, meaningful, and productive manner. The student must also be able to convey his/her intentions or ideas in messages crafted to introduce, inform, or persuade the listener.					
		i] Outcome Statement (E, I)	ii] Level (I, E, R, A)	iii] Demonstrate (X)	i] Outcome Statement (E, I)	ii] Level (I, E, R, A)	iii] Demonstrate (X)	i] Outcome Statement (E, I)	ii] Level (I, E, R, A)	iii] Demonstrate (X)	i] Outcome Statement (E, I)	ii] Level (I, E, R, A)	iii] Demonstrate (X)	i] Outcome Statement (E, I)	ii] Level (I, E, R, A)	iii] Demonstrate (X)	i] Outcome Statement (E, I)	ii] Level (I, E, R, A)	iii] Demonstrate (X)			
<p>[(I)] OUTCOME STATEMENT: The program outcome is (E) EXPLICITLY or (I) IMPLICITLY stated in the course syllabus as being one of the learning outcomes for this course.</p> <p>[(II)] LEVEL OF CONTENT DELIVERY:</p> <p>(I) INTRODUCES - Students are not expected to be familiar with the content or skill at the collegiate or graduate level. Instruction and learning activities focus on basic knowledge, skills, and/or competencies and entry-level complexity.</p> <p>(E) EMPHASIZES - Students are expected to possess a basic level of knowledge and familiarity with the content or skills at the collegiate or graduate level. Instruction and learning activities concentrate on enhancing and strengthening knowledge, skills, and expanding complexity.</p> <p>(R) REINFORCES - Students are expected to possess a strong foundation in the knowledge, skill, or competency at the collegiate or graduate level. Instructional and learning activities continue to build upon previous competencies and increased complexity.</p> <p>(A) APPLIES - Students are expected to possess an advanced level of knowledge, skill, or competency at the collegiate or graduate level. Instructional and learning activities focus on the use of the content or skills in multiple contexts and at multiple levels of complexity.</p> <p>[(III)] DEMONSTRATION OF LEARNING:</p> <p>(X) Students are asked to demonstrate their learning on the outcome through homework, projects, tests, etc. and are provided formal feedback.</p>																						
	Communications: ENG 101 Communication Skills I	E	R	X	E	R	X															
	Digital Computer & Telecommunications: CSC 150 Computer Literacy				E	E	X							E	R	X	E	A				
	Natural Sciences: BIO 100 Biological Science	I	A	X	I	A	X	E	R	X							E	A	X	E	A	X
	Natural Sciences: BIO 100L Biological Science Lab	I	A	X	I	R	X	E	A	X	E	A	X	E	A	X	E	A	X	I	R	X
	Health & Physical Education: PED 100 Fundamentals of Fitness for Life	I	E	X										I	A	X	E	E	X			
	Communications: ENG 102 Communication Skills II	E	A	X	E	A	X															
	Natural Sciences: PHY 100 Physical Science	E	R	X	I	E	X	E	I	X	I	E	X	I	E	X	I	E	X	I	R	X
	Social Sciences: SOC 101 Introduction to Social Sciences	I	R	X	I	E		E	I	X	I	R		E	E	X	I	E	X	I	R	X
	Mathematics: MTH 103 Contemporary Mathematics	I	R	X	E	A	X	I	E		E	A	X	I	E		I	E		I	R	
	Health & Physical Education: HED 100 Personal and Community Health	I	R			A									I		I	R		I	E	X
	Social Sciences: HIS 101 History of World Civilization II	E	A	X	I	I																
Humanities: FIA 201 Basic Art Appreciation	I	I	X	I	I	X										E	E	X	E	I	X	
Humanities: HUM 210 Humanities I	I	E	X	I	A	X	I	R	X							E	R	X	I	E	X	
Communications: SCM 285 Principles of Speech	E	R	X	E	R	X													E	A	X	
Cultural Elective: PSY 340 Psychology of African Americans	E	A	X	E	A	X	E	A	X							I	A	X	E	A	X	

Take Sufficient Time and Effort to
Deconstruct Each CR/CS/FR and Interpret
them in the Context of Your School.

If unsure, talk to your SACCS staff person

III. Development of Compliance Certification Report: Presentation and Documentation

III. Presentation and Documentation

- The design of the narrative sets expectations, shapes the first impression, and foreshadows the content
 - Halo Effect / Reversed Halo Effect
 - A type of bias where one characteristic of a person or one factor in a situation affects the evaluation of the person's other traits. The halo effect is most often apparent in situations where one person is responsible for evaluating or assessing another in some way. The halo effect can undermine an individual's effort to be objective in making judgments because all people respond to others in a variety of ways, making true objectivity nearly impossible. (Encyclopedia of Psychology)

III. Presentation and Documentation

- Well-structured narrative designs
 - Facilitate the work of report writers (especially if several individuals/teams collaborate on developing Compliance Certification Report responses)
 - Facilitate the work of SACS reviewers

III. Presentation and Documentation

- Recurring reasons leading to compliance - Design
 - Composition of the Institution's responses ... to demonstrate understanding of the concept
 - Accessible
 - Well-organized
 - Good job of examples from minutes, etc....
 - Clear and concise narrative and evidence to support the narrative.
 - Documents were clear, substantial and addressed each standard directly.
 - Detailed and appropriate documentation. Well-constructed responses to the requirement or standard. (From Carter, Johnson, & Gibbs, 2007)

III. Presentation and Documentation: Elements of the Compliance Case (adapted from Carter, n.d)

1. The Assertion – statement of compliance status
2. The Evidence – the foundation of the case
 - * Testing the evidence
 - * Determining what evidence to present
3. The Analysis – linking evidence to the assertion
4. The Conclusion – restatement of compliance status

III. Presentation and Documentation

III. 1 Clear Structure // E.g., CR 2.5

1. Introduction
2. Planning
 1. Strategic planning process
 2. Budgeting
3. Feedback Mechanisms
 1. Evaluation
 1. Annual reports
 2. Personnel evaluation
 2. Assessment
 1. Unit/program
 2. Core learning areas
 3. University
 3. State accountability program reviews and specialized accreditations
4. Continuous Quality Enhancement
 1. Student success
 2. Management structures
 3. Funding
 4. Improvements in IE process
5. Coordination of IE process
6. Conclusion

III. Presentation and Documentation

III. 2 Representative and Relevant Evidence

- Illustration and proof of your compliance (pattern of evidence/weight of evidence)
- **Directly related to the standard and referenced in the response narrative**

- In the lengthy documents, extract and/or highlight relevant sections
 - In the narrative, link to the extracted section
 - Provide the link to the full document in the Documentation Table (original location *and* local copy)



PREVIOUS NEXT

SITE HELP

Core Requirement 2.6

The institution is in operation and has students enrolled in degree programs.
(Continuous Operation)

<input checked="" type="checkbox"/> Compliance	<input type="checkbox"/> Partial Compliance	<input type="checkbox"/> Non-Compliance
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NARRATIVE:

Norfolk State University (NSU) was founded in 1935 and was named the Norfolk Unit of Virginia Union University. In 1942, the Norfolk Unit became the independent Norfolk Polytechnic College, and two years later, 1944, an Act of the Virginia Legislature mandated that it become a part of Virginia State College. In 1956, another Act of the Legislature enabled the institution to offer its first bachelor's degree as the Norfolk Division of Virginia State College. The Division conferred the first bachelor's degrees under this authorization in 1958. The Norfolk Division was separated from Virginia State College in 1969 and began operating as Norfolk State College, a fully independent four-year institution. Subsequent legislative acts granted the institution university status in 1979 with degree-granting authority (Code of Virginia §§ 23-174.1, 2. 3).

NSU provides affordable access to higher education and enhances the educational and economic goals of underserved residents throughout the nation.

- In fall 2006, 5,403 undergraduate students were enrolled in 34 undergraduate degree programs, and 835 students were enrolled in 18 graduate degree programs ([Continuous Operations Table](#)).
- The summary of student enrollment in academic programs can be found in the [Program Enrollment Matrix](#). The 2002-2006 [Fact Book](#) presents detailed student enrollments by academic degree program (pp. [91-95](#), [117-121](#), [145-159](#), [188-202](#), [228-230](#)).

Conclusion

Norfolk State University is a functioning organization with students enrolled in undergraduate and graduate degree programs. NSU has continually enrolled students in degree programs since its founding in 1935.

Documentation

#	Documents	Original Hyperlink	Local Copy
1	2002-2006 Fact Book	Original Hyperlink	Local Copy
2	Code of Virginia 23-174.1	Original Hyperlink	Local Copy
3	Code of Virginia 23-174.2	Original Hyperlink	Local Copy
4	Code of Virginia 23-174.3	Original Hyperlink	Local Copy

III. Presentation and Documentation

III.3 Language

- Use/integrate SACS language (i.e., Green Book)
- Make it easy for reviewers to see connections between response and standards

III.4 Response Narrative Conclusions

- Structure conclusions in the way to help the reviewer summarize the response and write evaluative compliance summary

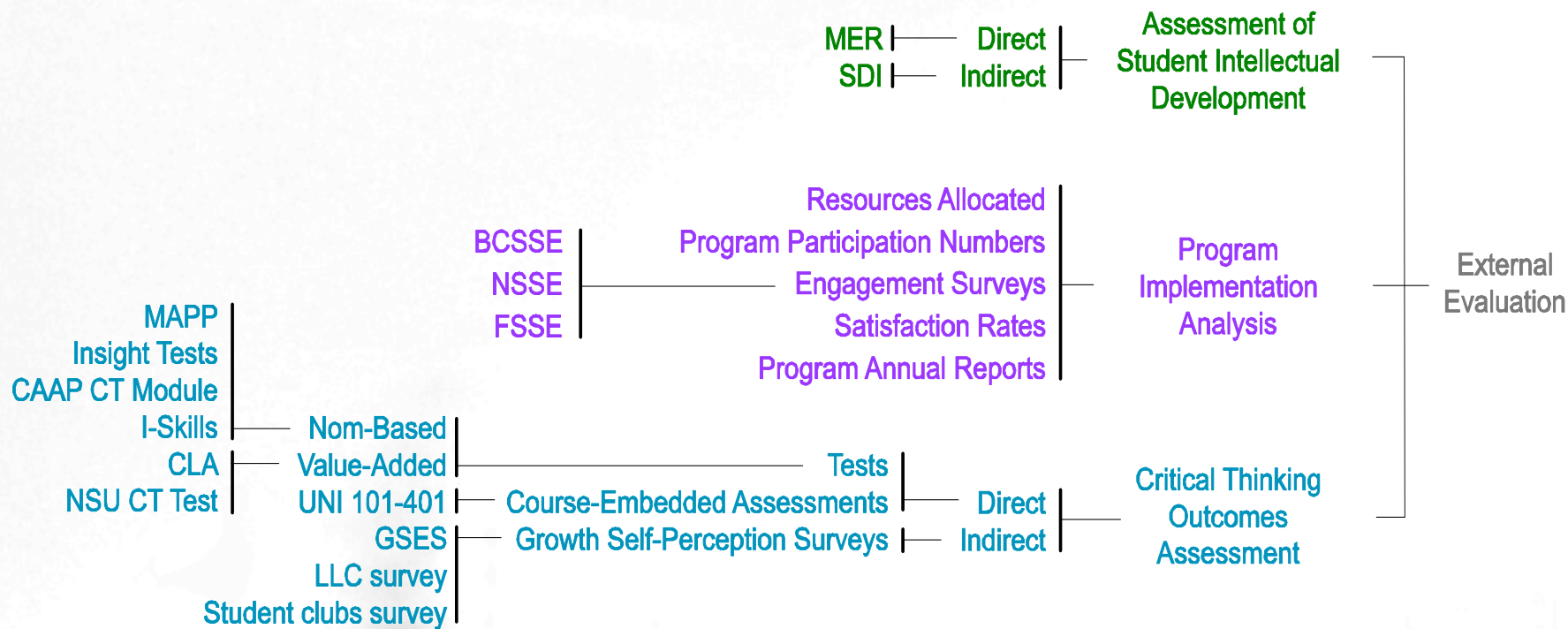
III. Presentation and Documentation

III.5 Use flowcharts, graphs, tables and other visual tools to

- Present and preview
- Integrate
- Summarize

*Remember to explain / refer to the visual presentations in your narrative

Sample Summary of a Critical Thinking QEP Assessment Section



R.E

III. Presentation and Documentation

III.6 Website and CD/DVD/flash drives

- Simple
- Neutral with respect to hardware or OS
- Easy-to-navigate
- Light
- Uniform structure
- PDFs
- Tech support
- Follow SACS Guidelines!



PREVIOUS NEXT

SITE HELP

Federal Requirement 4.5

The institution has adequate procedures for addressing written student complaints and is responsible for demonstrating that it follows those procedures when resolving student complaints. (See Commission policy "Complaint Procedures for the Commission or its Accredited Institutions.") (Student complaints)

Off-site Review:

Compliance Non-Compliance

Off-Site review team Comment

The institution provides evidence of published policies and procedures for addressing students' complaints. Grievance procedures to address complaints pertaining to faculty, staff, or other employees have been established. However, aside from a grade appeal, there was no specific evidence presented that these procedures have been followed.

NSU Response to Off Site Review Team Comment

Norfolk State University Response:

Student complaint procedures are followed and documented in writing. Student complaint logs from three units are provided as evidence: [Student Services/Judicial Affairs](#), [Enrollment Management](#), and [Academic Affairs](#). The logs reveal that a variety of complaints are filed during an academic term (semester), to include grade appeals, student-faculty disagreements, residence hall infractions, parking, vandalism, computer misuse, verbal abuse, and registration and financial aid issues. The names of students and social security numbers have been blocked on the logs. Dates of the complaint have been retained and complaint dispositions are usually noted. Complaints that require a formal hearing are adjudicated via Judicial Affairs and five case documents are provided for review. Other case documents are available on-site.

Additional Supporting Documentation

Additional Supporting Documentation

- [Academic Affairs Case Log](#)
- [Enrollment Management Case Log](#)
- [Student Services/ Judicial Affairs Case Log](#)

Original Narrative from compliance certification Report

Compliance Certification Narrative

Compliance Partial Compliance Non-Compliance

Norfolk State University (NSU) has adequate procedures for addressing written student complaints. The University publishes policies and procedures for addressing written complaints (grievances) for all students enrolled in NSU. These policies and procedure are contained in the [NSU Student Handbook](#) and the NSU [Student Disciplinary Policy and Procedures Handbook](#).

III. Presentation and Documentation

III.7 Web and paper version layouts

- Parallel
- Font
- Line and section spacing
- Color
- Paper
- Section separation
- Binding



IV. Development of Compliance Certification Report: (Self)-Review

(Carter, nd)



IV. Compliance Certification Report: (Self)-Review

IV.1 Clarity of the case

- * Is the assertion clearly and comprehensively stated?
- * Does the evidence and analysis supporting the assertion make sense?
- * Does the conclusion follow from the evidence and analysis?

IV. Compliance Certification Report: (Self)-Review (Cont'd)

IV.2 Strength of the evidence

- * Is the evidence relevant to the argument?
- * Is the evidence sufficiently representative to support the assertion?
- * Is the evidence authoritative and reliable?
- * Do the examples make the point?
- * Will an informed reader find the evidence compelling?

IV. Compliance Certification Report: (Self)-Review (Cont'd)

IV.3 A “user friendly” format

- * Can the reader easily and quickly get to the evidence?
- * Does the quantity of documentation interfere with the case?
- * Do the links work?

Questions and Discussion

Conclusion

Ask your institution's SACs staff for helpful hints for the development of Compliance Certification Report

Thank you!

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