University *of* NORTH ALABAMA

SOUTHERN ASSOCIATION OF COLLEGES AND SCHOOLS COMMISSION ON COLLEGES

FOCUSED REPORT
2011 - 2012

UNIVERSITY OF
18 30
NORTH ALABAMA

HISTORY IN THE MAKING

Focused Report

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Preface

The University of North Alabama's *Focused Report* addresses questions posed by the SACSCOC Off-Site Review Committee's evaluation of UNA's 2011-2012 *Compliance Certification*. UNA's *Compliance Certification* was prepared in response to the 2010 edition of the *Principles of Accreditation: Foundations for Quality Enhancement*. The primary source for UNA's *Focused Report* is a password-protected website, the same site used for the University's *Compliance Certification*. The electronic presentation of the *Focused Report* provides the text of the Core Requirement or Comprehensive Standard for which more information was requested, followed by the Off-Site Review Committee's comments and the University's subsequent response. The web version of the university responses includes links to web pages or PDF documents that provide clarification and supporting evidence. Links to the University's original compliance narratives are also provided. This printed equivalent of the *Focused Report* reproduces the narratives and lists the sources used as evidence. The sources themselves, however, are not provided here. Within the online source live links are followed by links to a PDF version of the same material (a precaution in the event of unexpected technical problems at the time of review). This presentation pattern is duplicated in the print version of the *Focused Report* as well.

UNA's *Focused Report* response to C.S. 3.13.1 follows the format submitted by the SACS COC Off-Site Review Committee report rather than treating each policy of the Commission as a separate standard (e.g., 3.13.1, 3.13.2, 3.13.3, and 3.13.4). Two new Federal Requirements (4.8 and 4.9) have been added since the completion of UNA's Compliance Certification. The *Focused Report* addresses these additional requirements.

Celia R. Reynolds
SACSCOC Accreditation Liaison/UNA SACSCOC Reaffirmation Director

2.11.1 Financial Resources

The institution has a sound financial base and demonstrated financial stability to support the mission of the institution and the scope of its programs and services.

The member institution provides the following financial statements: (1) an institutional audit (or *Standard Review Report* issued in accordance with *Statements on Standards for Accounting and Review Services* issued by the AICPA for those institutions audited as part of a system wide or statewide audit) and written institutional management

letter for the most recent fiscal year prepared by an independent certified public accountant and/or an appropriate governmental auditing agency employing the appropriate audit (or *Standard Review Report*) guide; (2) a statement of financial position of unrestricted net assets, exclusive of plant assets and plant-related debt, which represents the change in unrestricted net assets attributable to operations for the most recent year; and (3) an annual budget that is preceded by sound planning, is subject to sound fiscal procedures, and is approved by the governing board.

Audit requirements for applicant institutions may be found in the Commission policy "Accreditation Procedures for Applicant Institutions."

Off-Site Review Committee Evaluation

Non-Compliance

The institution has a fiscal year end of September 30 and provided audited financial statements for FY 2010. Although the audit report contained information on the audit and processes conducted by the Auditor, a formal management letter for the most recent fiscal year was not provided.

University Response

The ***Report of the Reaffirmation Committee*** concerning the University's Compliance

Certification **C.R. 2.11.1** (**PDF**) requested a formal management letter for the most recent fiscal

year. Below is the University's response.

The University's most recent fiscal year ended September 30, 2011. The financial audits for the

University are performed by the State of Alabama Department of Examiners of Public Accounts. A

letter of engagement was issued to the University by the Examiners of Public Accounts on August

18, 2011, to perform a routine financial and legal compliance audit for the period October 1, 2010,

through September 30, 2011 (**Engagement Letter from Examiners of Public Accounts**). An

agreement was signed by the University's President on November 21, 2011, for the Examiners of

Public Accounts to audit federal funds received by the University in accordance with OMB Circular A-133 for the FY 2010-2011 (**Signed Agreement for a 2010-2011 Audit**).

The Department of Examiners of Public Accounts for the State of Alabama does not issue a formal management letter to the University. At the conclusion of the audit process, the Examiners issue a formal written report and list any issues they encounter (**Communications Verifying No Management Letter Provided by Auditors**).

Brian Harris, Director of Educational Audits for the Examiners of Public Accounts, has set a deadline for the University of North Alabama's audit to be completed on, or around, February 10, 2012. The results of this audit will be provided for review by SACSCOC when it is available.

Sources

C.R. 2.11.1 of Compliance Certification website, PDF
Communications Verifying No Management Letter Provided by Auditors
Engagement Letter from Examiners of Public Accounts
Signed Agreement for 2010-2011 Audit

3.3.1 Institutional Effectiveness

The institution identifies expected outcomes, assesses the extent to which it achieves these outcomes, and provides evidence of improvement based on analysis of the results in each of the following areas:

3.3.1.1 educational programs, to include student learning outcomes

Off-Site Review Committee Evaluation

Non-Compliance

The institution offers bachelor degree programs in more than 60 undergraduate majors, an Education specialist degree, and master degrees in eight fields of study through four academic colleges: Arts and Sciences, Business, Education, and Nursing and Allied Health.

The institution identifies expected learning outcomes for each academic program and assesses the extent to which it achieves these outcomes for educational programs in a series of annual reports summarizing department goals, learning outcomes, assessment of the outcomes, analysis of the results, together with subsequent "actions" and "improvements" as a consequence of those actions. These reports are then summarized in an impressive tabulation, a coded "Three-Year Assessment Audit," in order to monitor the institution's emphasis on an on-going "continuous quality improvement." The table provides links to three years' annual reports for each program. Further, academic programs undergo comprehensive and "rigorous" program reviews each five years and frequently these reviews include input from external evaluators and professional accreditation results. The Assessment Committee and Director of Institutional Research, Planning, and Assessment are described as providing "feedback" to departments, programs, and Deans regarding the annual reports.

However, the uniform template for presenting the program's annual reports includes a space intended for recording "improvements" that many departments and programs leave blank for various goals over multiple years. Therefore, it is unclear whether there is consistent improvement based on analysis of results.

University Response

The ***Report of the Reaffirmation Committee*** determined that the University was non-compliant

with Compliance Certification **C.S. 3.3.1.1** (**PDF**) - educational programs, to include student

learning outcomes. Below is the University's response.

As noted in **C.S. 3.3.1.1**, the University's Annual Report form includes two cells that departments

can use to articulate their actions/improvements. The first cell indicates those

actions/improvements actually made as a direct result of a department's assessments. The second

cell is for the department to indicate future actions/improvement plans and is to be completed *only*

if the department could not record actions/improvements in the first cell.

In the printed version of the original Annual Report, the first cell was labeled "Actions" and the

second cell was labeled "Improvements." This was confusing and clearly led to the concerns by the

off-site reviewers. The University has rectified this problem and the first cell is now labeled

"Actions/Improvements" and the second cell is now labeled "Future Actions/Improvements"

(**Academic 3-yr Assessment Audit, January 10, 2012**).

The newly-labeled "Actions/Improvements" cell clearly demonstrates that improvements to the

institution's academic areas were made during the period reported. For example, within academic

programs, over 220 actions/improvements to learning outcomes (based upon assessment) were

made over a two-year period, and over 300 departmental-based improvements/actions were made

over a three-year period. These improvements include curricular changes, course revisions,

pedagogical changes, process revisions, changes to assessment methods/criteria, budget revisions,

and development/training. Examples of academic program improvements are listed below:

- The University's academic programs gained strong reaffirmations and new accreditations during the past three-year period.

- The College of Business (COB) created both written and oral presentation modules in the ANGEL Learning Management System for all of its academic programs so that all COB faculty may have uniform access to rubrics, action plans, and many other resources on key business-related competencies.

- During the 2010-2011 academic year, the departments of Art, Biology, English, and Music added new courses as a result of their assessment findings.

- During the 2009-2010 academic year, the Department of Counselor Education assessed its program and modified it by moving all school counseling courses to fall and spring semesters to better meet the needs of counseling students who do not have an elementary or secondary teaching background.

- Based on feedback from constituent groups and state and national standards and trends, the Department of Health, Physical Education, and Recreation revised the MA in Health Promotions and Human Performance to create the new Master of Science in Health and Human Performance. The revised program established concentrations in exercise science, kinesiology, and wellness and health promotion.

The quest for continuous quality improvement is clearly supported within each department's well-articulated process of identifying expected learning outcomes for each academic program, identifying overall departmental goals, and utilizing assessments to determine the extent to which each academic department/program achieves these stated outcomes.

Sources

Academic 3-yr Assessment Audit, January 10, 2012
C.S. 3.3.1.1 of Compliance Certification website, PDF
Report of the Reaffirmation Committee

3.3.1 Institutional Effectiveness

The institution identifies expected outcomes, assesses the extent to which it achieves these outcomes, and provides evidence of improvement based on analysis of the results in each of the following areas:

3.3.1.2 administrative support services

Off-Site Review Committee Evaluation

Non-Compliance

The institution uses the same comprehensive reporting process for Administrative Support Services as is described in 3.3.1.1 for Educational Programs. The process includes annual reports, five-year departmental reviews, and external reviewers. The annual reviews are designed to describe unit's goals and objectives, outcomes achieved, assessment measurements and procedures and unit improvements. The institution uses a sophisticated Three-Year Assessment Audit table coded to summarize these components and provide links to the unit's annual reports over a three-year reporting cycle.

However, among the 62 reports (21 units X 3 year's cycles) three-fourths include no discussion under the "improvements" heading based on an assessment of achieving outcomes.

University Response

The ***Report of the Reaffirmation Committee*** concerning the University's Compliance

Certification **C.S. 3.3.1.2** (**PDF**) requested additional documentation associated with improvements

as a consequence of assessment. Below is the University's response.

As noted in **C.S. 3.3.1.2**, the University's Annual Report form includes two cells that departments

can use to articulate their actions/improvements. The first cell indicates those

actions/improvements actually made as a direct result of a department's assessments. The second

cell is for the department to indicate future actions/improvement plans and is to be completed *only*

if the department could not record actions/improvements in the first cell.

In the printed version of the original Annual Report, the first cell was labeled "Actions" and the

second cell was labeled "Improvements." This was confusing and clearly led to the concerns by the

off-site reviewers. The University has rectified this problem and the first cell is now labeled

"Actions/Improvements" and the second cell is now labeled "Future Actions/Improvements"

(**Administrative 3-yr Assessment Audit, January 10, 2012**).

The newly-labeled "Actions/Improvements" cell clearly demonstrates that improvements to the

institution's administrative support areas were made during the period reported. For example,

within these departments, over 320 actions/improvements (based upon assessment) were made

over a three-year period. These improvements include revision of service, process revisions, new

policies, new processes, budget revisions, new services, new assessment methods, and increased

development/training. Examples of administrative support unit improvements are listed below:

- During the 2009-2010 academic year, the Office of University Advancement reached its goal to meet with all University Board members individually to determine their current and future roles in fund raising. This outcome was achieved and future meetings with the University's Foundation Board members are planned for the coming year in preparation for newly created funding strategies.

- The Comptroller's Office began a systematic review of all internal control processes in 2010-2011 to ensure they were in alignment with state audit policies and procedures. To this end, one of the many accomplishments of this process was a comprehensive, institution-wide review and an update of the institution's travel policies.

- After conducting an extensive assessment process which involved an external company, the Department of Housing created a plan to move the institution's on-campus housing options into the future. This plan included a significant renovation of the institution's largest housing units.

The quest for continuous quality improvement is clearly supported within each department's well-

articulated process of identifying departmental goals and utilizing assessment to determine the

extent to which each department achieves these stated goals.

Sources

Administrative 3-yr Assessment Audit, January 10, 2012

C.R. 3.3.1.1 of Compliance Certification website, PDF

Report of the Reaffirmation Committee

3.3.1 Institutional Effectiveness

The institution identifies expected outcomes, assesses the extent to which it achieves these outcomes, and provides evidence of improvement based on analysis of the results in each of the following areas:

3.3.1.3 educational support services

Off-Site Review Committee Evaluation

Non-Compliance

The institution presents planning, assessment, and on-going improvement results for 21 educational support services using the same comprehensive methodology and reporting structure as is used for educational and administrative departments (3.3.1.1 and 3.3.1.2). The annual report results are summarized in a "Three-Year Annual Planning and Assessment Audit (Education Support Units Only)" where each summary is linked to three annual reports for each service. Every five years each support service is also reviewed with a comprehensive five year review "on a staggered cycle."

It is clear from the annual reports that the organizational units responsible for educational support services are making changes to their operations and services. However, since it is unclear that these changes are based on analysis of assessment results or that these changes have led to meaningful improvements in the services [sic]

University Response

The ***Report of the Reaffirmation Committee*** concerning the University's Compliance

Certification **C.S. 3.3.1.3** (**PDF**) requested verification of changes based on analysis of

assessment results or that changes have led to meaningful improvements in the services. Below is

the University's response.

As noted in **C.S. 3.3.1.3**, the University's Annual Report form includes two cells that departments

can use to articulate their actions/improvements. The first cell indicates those

actions/improvements actually made as a direct result of a department's assessments. The second

cell is for the department to indicate future actions/improvement plans and is to be completed *only*

if the department could not record actions/improvements in the first cell.

In the printed version of the Annual Report, the first cell was labeled "Actions" and the second cell was labeled "Improvements." This was confusing and clearly led to the concerns by the off-site reviewers. The University has rectified this problem and the first cell is now labeled "Actions/Improvements" and the second cell is now labeled "Future Actions/Improvements" (**Educational Support 3-yr Assessment Audit, January 10, 2012**).

The newly-labeled "Actions/Improvements" cell clearly demonstrates that improvements to the institution's administrative support areas were made during the period reported. For example, within these departments, over 200 actions/improvements (based upon assessment) were made over a three-year period. These improvements include revision of service, process revisions, new policies, new processes, budget revisions, new services, new assessment methods, and increased development/training. Examples of educational support unit improvements are listed below:

- In order to promote its long-term planning efforts, the Division of Student Affairs merged all of its departments into one comprehensive Five-Year Report in 2009-2010. As part of this process, each department had to create assessment strategies that supported both the department as well as the division, undergo extensive external assessment, and create long-term plans based upon divisional strategic goals. The plan has been used to make significant changes within the division including an extensive strategic plan for Housing and Residence Life, a more updated and university-centered Police department, as well as greater efficiency and improvement of Student Affairs services in general.

- After assessing the existing security procedures relative to the online library catalog server, Collier Library staff implemented a new procedure for password maintenance. The new procedure requires users to change their passwords regularly, and to create more secure passwords, which has resulted in increased security for the catalog server.

- Student Engagement developed an Alternative Break program that offers multiple opportunities for students during fall and spring breaks and created a student group that assists with an Alternative Break program. As part of the assessment process, the department reviewed various collegiate Alternative Break programs around the country. Improvements made included Alternative Break trips during Fall Break 2009 and Spring Break 2010 and establishment of the Alternative Break Board as a Recognized Student Organization (RSO).

- Educational Technology Services continued to support faculty and students in distance learning with the implementation of an outreach program focusing on grades P-12, professional development, graduate programs, and community services.

- The assessment and outreach activities by Career Planning and Development strengthened its network with alumni and employers in the Huntsville area as well as other cities to help UNA graduates in those job markets.

The quest for continuous quality improvement is clearly supported within each department's well-articulated process of identifying departmental goals and utilizing assessment to determine the extent to which each department achieves these stated goals.

Sources

C.R. 3.3.1.1 of Compliance Certification website, PDF

Educational Support 3-yr Assessment Audit, January 10, 2012

Report of the Reaffirmation Committee

3.3.1 Institutional Effectiveness

The institution identifies expected outcomes, assesses the extent to which it achieves these outcomes, and provides evidence of improvement based on analysis of the results in each of the following areas:

3.3.1.4 research within its educational mission, if appropriate

Off-Site Review Committee Evaluation

Non-Compliance

Although the institution is primarily a teaching institution, research and scholarship lie within its mission and is considered a primary "means by which faculty… demonstrate their professional expertise and achievement while gaining new, useful knowledge in the field." To this end, an Office of Sponsored Research was founded (2010) to assist in garnering external funding in support of research and to oversee post-award administration of grants and contracts. The office tracks the number of grants, the number and value of all research grants and contracts negotiated, and also oversees the institution's Intellectual Property Policy and its Review for Human Subjects and Animal Use policies (IRB Board).

Although assessment of research productivity is considered in the context of individual faculty performance reviews (as described in the Faculty Manual 3.13.1) and the dollar value of research is tracked, there does not appear to be any defined research outcomes (other than the raising of funds) or assessment of the degree to which the institution is achieving particular outcomes or evidence of improvement based on an analysis of results of research. The connection between research and the institution's educational program is not clearly articulated.

University Response

The ***Report of the Reaffirmation Committee*** concerning the University's Compliance Certification **C.S. 3.3.1.4** (**PDF**) requested the connection between research and the institution's education program be clearly articulated. Below is the University's response.

The University of North Alabama's **mission statement** states that it engages "in teaching, research, and service in order to provide educational opportunities for students, an environment for discovery and creative accomplishment, and a variety of outreach activities meeting the professional, civic, social, cultural, and economic development needs of our region in the context of a global community."

In addition, the University's Strategic Plan identifies the goal of offering high quality programs to UNA's student body. Specific to this goal is the assumption that "excellence in learning both inside and outside of the classroom is highly valued. It transforms students through rigorous intellectual instruction, active involvement, and personal exploration" (***University of North Alabama Strategic Plan, 2007-2012, p. 5***). Research, at both the faculty level and university level, is an inherent component of this goal.

Individual Faculty Research Expectations

The University of North Alabama employs full-time faculty who "are obligated to full-time service to the University, including classroom teaching, class preparation, grading and evaluation, office hours, student advisement duties, committee or other institutional affairs activities, professional enrichment experiences, and, as appropriate, research, publication, and public service" (***UNA Faculty Handbook, May 2011***, **Section 3.2**).

The University of North Alabama regularly evaluates the effectiveness of each faculty member in accord with published criteria, regardless of contractual or tenured status, through a "Faculty Evaluation Program" whose purpose is to "provide a valid and reliable assessment of faculty performance based on designated areas of engagement approved by the University" (***UNA Faculty Handbook*, May 2011, Section 3.13**). It is also stated that "all faculty members are expected to demonstrate continuous involvement and effectiveness in the areas of: (1) teaching/professional effectiveness; 2) research, scholarship, and/or creative activities related to the faculty member's discipline and/or professional responsibilities; and (3) service performed on behalf of and/or in affiliation with the University, professional association, or as a civic or social service in the local community."

Research expectations are clearly delineated in the institution's faculty evaluation process and promotion and tenure guidelines (***UNA Faculty Handbook*, May 2011, Section 2.5.2**; ***UNA***

***Faculty Handbook*, May 2011, Section 3.10**; ***UNA Faculty Handbook*, May 2011, Section 2.5**. In addition, each department is required to have approved guidelines and expectations for all faculty seeking tenure and/or promotion at the University. These guidelines identify expected activities associated with teaching, research, and service appropriate for each discipline. As of fall 2011, departments were requested to submit departmental approved guidelines to the deans and subsequently to the Vice President for Academic Affairs and Provost. Copies of these departmental guidelines were also to be submitted by faculty along with any promotion/tenure portfolio (**VPAA Memorandum on Guideline Submission Timeline**). Although the institution does not quantify research outcomes for faculty across disciplines, it is clear that the institution expects continuous improvement of academic expertise through research. For example, the College of Business has created a table of its intellectual contributions for the past five years (**COB Intellectual Contributions 2006-2010**).

The Faculty Evaluation Program provides important information for department and academic program reviews and is considered an integral component of the University's institutional effectiveness program (***UNA Faculty Handbook*, May 2011, Section 3.13.2**).

Institution Supported Research

As mentioned earlier, the university goals identified in the ***University of North Alabama's Strategic Plan*, 2007-2012** clearly establish a research agenda. To this end, the Office of Research, Planning, and Institutional Effectiveness was reorganized into two independent offices: the Office of Institutional Research, Planning, and Assessment and the Office of Sponsored Programs. The Office of Sponsored Programs assists faculty in the acquisition of external support in the form of grants and contracts in order to facilitate faculty involvement in research, creative work, and other scholarly activities (***University of North Alabama Strategic Plan*, 2007-2012. p. 10**). The following table presents information related to the number of proposals submitted, funded and rejected from 2006 through 2011.

Table 3.3.1.4. Proposals Submitted, Funded, and Rejected, 2006 - June 30, 2011.

Calendar Year	Proposals Submitted/Funded (N)	Proposals Submitted Average Dollar Amount ($K)	Proposals Funded Average Dollar Amount ($K)	Proposals Rejected Average Dollar Amount ($K)
2006	25/22	$165.24	$180.27	$77.83
2007	27/20	$204.67	$245.60	$87.73
2008	29/22	$885.49	$545.15	$2,212.24
2009	40/32	$210.91	$189.59	$296.20
2010	29/24	$274.85	$247.71	$405.10
2011	29/13	$166.29	$27.21	$90.82

Specific Research Outcomes and Improvements

The University's Strategic Plan provides a general listing of initiatives from 2007 – 2009

(***University of North Alabama's Strategic Plan***, **p. 8**) including specific outcomes related to

research. Based upon the goals and outcomes defined by the institution, below are some examples

of specific actions taken and improvements made within the research component at the University

of North Alabama:

- The **Office of Sponsored Programs** (**PDF**) has made significant improvements based upon assessment including a comprehensive revision of the institution's research policies and procedures, as well as the streamlining of the grant writing process.

- The engagement of students in faculty-mentored research and creative activities offers learning opportunities which impart disciplinary skills and knowledge. A formative example of how research has played a significant role throughout the University is **Research Day**. This event provides faculty and students with a venue to demonstrate and inform the campus and community about current research projects. The spring of 2011 marked the fourth year of the event, which has grown considerably since its inception.

- ***Profiles in Excellence*** highlights all faculty-driven research/creative endeavors throughout the University. Now in its fifth year, *Profiles in Excellence* continues to showcase the University's commitment to research and learning.

- ***Campus Communications*** clearly demonstrates that scholarship and creative endeavors extend beyond faculty to the staff and administration as well. This publication showcases university-wide achievement in support of the institution's strategic goals.

- During a time of decreased budgets and resources, the University of North Alabama has focused on the goal of sustaining a creative environment by continuing to fund travel, increasing internal grants, holding workshops, building the Black Box Theater, and expanding release time for faculty devoted to research endeavors.

Sources

Campus Communications

COB Intellectual Contributions, 2006-2010

C.S. 3.3.1.4 of Compliance Certification website, PDF

Office of Sponsored Programs, PDF

Profiles in Excellence

Report of the Reaffirmation Committee

Research Day

UNA Faculty Handbook, May 2011, Section 2.5

UNA Faculty Handbook, May 2011, Section 2.5.2

UNA Faculty Handbook, May 2011, Section 3.2

UNA Faculty Handbook, May 2011, Section 3.10

UNA Faculty Handbook, May 2011, Section 3.13.2

University of North Alabama's Strategic Plan, 2007-2012

University of North Alabama Strategic Plan, 2007-2012, p. 5

University of North Alabama's Strategic Plan, p. 8

University of North Alabama's Strategic Plan, 2007-2012, p. 10

UNA Mission Statement

VPAA Memorandum on Guideline Submission Timeline

3.7.1 Faculty Competence

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. (See Commission guidelines "Faculty Credentials.")

Off-Site Review Committee Evaluation

Non-Compliance

Justification of qualifications is requested for six faculty members. See the Request for Justifying and Documenting the Qualifications of Faculty at the end of this report.

University Response

The ***Report of the Reaffirmation Committee*** concerning the University's Compliance

Certification **C.S. 3.7.1** (**PDF**) requests justifications and documentation for six faculty

members. Below is the University's response for each faculty member in order of appearance

in the reaffirmation report.

Mr. Jonathan D. Cain

The ***Report of the Reaffirmation Committee*** request*s* official transcripts for Mr. Cain. The

University has requested official transcripts for Mr. Cain. to replace the "Issued to Student"

transcripts of Mr. Cain (Table 1; see transcripts link). The University of North Alabama does not

accept "Issued to Student" transcripts for faculty credentialing. Mr. Cain holds a Master of Fine

Arts degree in Art from the University of Mississippi. He has over 18 credit hours in his

teaching discipline (Table 1).

Dr. Thomas C. Christy

The ***Report of the Reaffirmation Committee*** requests clarification of Dr. Christy's actual

teaching assignments. In the **Faculty Roster** (**PDF**) of the Compliance Certification, the

University presented two separate course schedules for Dr. Christy. In the revised Faculty

Roster of the Focus Report (Table 1), only the actual teaching assignments for the Fall 2010

and Spring 2011 semesters are listed for Dr. Christy. The other courses that were listed for Dr.

Christy in the Faculty Roster of the Compliance Certification were part of the **University's**

Critical Languages Program and Study Abroad Program. Dr. Christy helps in the

coordination of these programs and clarification of his role in these programs is provided below.

In addition, the University reports on a change in policy concerning the Critical Languages

Program.

Critical Languages Program. Dr. Christy is Chair of the Department of Foreign Languages

and serves as Director of the University's **Critical Languages Program**. Through this

program, the Department of Foreign Languages, in association with the **National Association**

of Self-Instructional Language Programs, provides opportunities to university students to

take less commonly taught languages such as Arabic, Chinese, Japanese, Russian, and other

languages. Dr. Christy works closely with the course "examiners" of the Critical Languages

Program (**Examiners Job Description**). The examiners for the Critical Languages Program at

UNA are obtained with the assistance the National Association of Self-Instructional Language

Programs. In 2010-2011, 51 students took courses in the Critical Languages Program.

Critical Languages Program Policy Change. The University has changed its policy

concerning the Critical Languages Program. In the future, the Critical Languages Program

course examiners will undergo the same credential vetting process that is used for all faculty

members of the University. This involves filling out a **Faculty Credential Certification Form**,

an examination of official transcripts and other qualifications, and the establishment of a

permanent record file in the Office of the Vice President of Academic Affairs and Provost. This

new policy will ensure that the examiners of the Critical Languages Program courses meet the

SACS COC recommended guidelines concerning faculty credentials. Because of the policy

change in the Critical Languages Program, the names of the examiners and their respective

credentials for the Critical Languages Program for the 2010-2011 academic year are now

included in the revised Faculty Roster of the Focus Report (Table 1).

Study Abroad Program. Dr. Christy also plays an important role in the University's Study

Abroad Program and this accounted for some of the additional hours listed in the Faculty Roster

of UNA's Compliance Certification (i.e., **SA 499 courses**). The University's Study Abroad

Program allows for students interested in studying outside the United States, either at an

institution affiliated with the **Magellan Exchange**, in which the University is a partner, or at

other accredited universities, to enroll in sections of SA 499. Dr. Christy assists students in the

planning for their trip abroad, evaluates all of the documentation obtained from the partner

institution once the student has returned, and, as regards coursework related to courses in the

Department of Foreign Languages, makes the final determination as to the kind of course credit

the student should receive for the courses taken. For related coursework in the academic

disciplines of other departments, the faculty members in those departments determine course

equivalencies, which are reported to the Registrar. In 2010-2011, eight students were enrolled

in the study abroad courses offered through the Department of Foreign Languages (i.e., **SA

499 courses**).

Dr. Dennis R. Balch

The ***Report of the Reaffirmation Committee*** requested justification and documentation to

support Dr. Balch's teaching of the graduate course **MG 640 Management Policy**. The

College of Business (COB) has reviewed the course content of **MG 640** and Dr. Balch's

qualifications to teach the course. The COB has determined that although Dr. Balch does not

hold a terminal degree in management, his extensive corporate experience and his ongoing research in management provide him with the additional qualifications needed to teach the graduate course (Table 1).

Specifically, Dr. Balch has worked in industry for 23 years which has provided him with first-hand experience in strategic planning, relationship development, partner negotiations, organizational development, and restructuring in both downsizing and growth situations. Dr. Balch's executive corporate experience includes 2.5 years at Dell Computer Corporation where he was the Director of Software Technology and the Director of Portables Systems Engineering. During his 20.5 years at the Data General Corporation he reached the level of Vice President of Software Development (**Balch Corporate Experience**).

Below is a list the major topics covered in MG 640 and some of Dr. Balch's relevant activities from his corporate experience. The list illustrates how his corporate experience gives him a concrete understanding of the topics of the MG 640 course and how his experience allows him to relate concept to practice in the course (see **MG 640 course syllabus**).

- **Strategy Formulation Process.** As a member of executive management in two Fortune 500 companies, Dr. Balch participated in strategic planning activities, collaborating with Research and Development (R&D) peers and peers from Marketing, Sales, Manufacturing, and Finance functions. As the vice president and manager of Data General's Software Development Laboratory, Dr. Balch was responsible for coordinating formulation of the software piece of the R&D strategy. As the director of Dell's Personal Systems Software Technology, Dr. Balch was responsible for coordinating the strategic relationship with Microsoft, engaging in joint planning for future operating system revisions.

- **Strategic Performance Measures.** As a senior manager, part of Dr. Balch's responsibility involved interpreting business unit and corporate performance to his staff quarterly, and ensuring that his organizational goals were linked to business unit and corporate strategic goals.

- **Strategic Analysis (Macroenvironment, Industry, Company).** The technology companies Dr. Balch worked for were strongly affected by the broader national and global economy. Data General was strongly affected by the Asian currency crisis of the late 1990s, and Dell learned painful lessons about currency hedging as it expanded its international business. Industry technology trends were closely monitored in both companies, and at

both Dr. Balch coordinated university research projects that engaged students in research to explore performance and behavioral characteristics of new technology. The very nature of R&D in a technology company requires evaluation of a large number of options for technical feasibility, development cost, marketing fit, and life cycle support cost. Because Dr. Balch managed in technical documentation, quality assurance, and operating system development before taking an executive job, he has a strong cross-functional understanding to tie into strategic analysis.

- **Business Unit Strategy.** Both of the companies Dr. Balch worked for had multiple business units, and this experience has given him insight into the difficult process of evaluating opportunities across the corporation and making reasoned choices about investment—deciding what not to do so that the resources are available to invest in the primary objectives.

- **Corporate-level Strategy (Globalization, Diversification).** Among the more difficult tasks Dr. Balch had to undertake while working for industry were fundamental strategic adjustments associated with diversifying the Data General R&D mission. The shift from a proprietary system architecture to an open, industry standard architecture meant engaging a new set of strategic partners and managing technical staff through a difficult set of career adjustments (retraining, downsizing). A different kind of diversification challenge occurred at Dell, where one of Dr. Balch's technical teams collaborated on an advanced PC architecture project with Microsoft—this was an engineering success and a marketing failure. These are two of many experiences that Dr. Balch sometimes dissects in his course to illustrate the impact of technology cycles, strategic partnership, and cross-functional organizational politics.

- **Ethical Governance and Personal Accountability.** These are very significant issues for Dr. Balch. While working for industry he had to fend off requests from superiors to manipulate elements of financial reporting. He had to deal with peers and subordinates who were manipulating budgets to serve narrow interests rather than corporate interests. He directed a performance management program for an employee population of over 250 people. These experiences allow Dr. Balch to context the issue of corporate governance and personal accountability (right down to the obligations of team members) from a practitioner's perspective.

- **Implementation and Review of Strategy.** During Dr. Balch's corporate experience, he learned first-hand that a strategy considered abstractly is much more orderly than it is in practice. He tells his students that while working for industry one must regularly be prepared for a new corporate development. Sometimes change involves an exciting new opportunity that requires reallocating resources; sometimes it is a directive to cut 10% of the workforce. But always, it involves making the adjustment in an orderly fashion, in the context of the governing strategy.

Research Publications. Dr. Balch's research record provides further justification that he

meets the qualification standards required to teach MG 640. Dr. Balch is actively engaged in

advancing the knowledge base of his teaching discipline as evident in his research efforts. He

has published five peer-reviewed articles in the last five years. Two of the articles were in the

field of strategic management and policy, and the other three dealt with ethics, a component of

management policy and strategic management (**Balch Publications**).

Dr. Byron L. Hurren

The ***Report of the Reaffirmation Committee*** requests official transcripts for Dr. Hurren and

additional qualifications to justify his teaching of **ED 603 Educational Psychology**. The

unofficial transcripts (i.e., "Issued to Student" transcripts) of Dr. Hurren have been replaced by

official transcripts (Table 1; see transcripts link). The College of Education (COE) has also

conducted a thorough review of the course content of ED 603 and the qualifications of Dr.

Hurren. The COE has determined that the current title and description of ED 603 do not

accurately reflect the current purpose and intent of the existing course. The course design and

content of ED 603 have evolved over time to reflect current data and pedagogy (**ED 603**

Syllabus). The course title and description, however, have not been updated to assure that

they correlate with the actual purpose and course content. The Department of Secondary

Education has conducted an analysis of the course to assure Alabama State Department of

Education (ALSDE) standards are met through appropriate content, field experiences and

candidate assessments. The COE review indicated a need for a course name change and an

update of the course description to accurately reflect the content that is currently presented

and measured through ED 603. The name change and revised course description have been

approved at the departmental level and is slated to be submitted to the COE Curriculum

Committee for approval in January 2012 (see **Department of Secondary Education meeting**

minutes). The proposed name for ED 603 is "Trends, Issues, and Diversity in Learning" and

the proposed revised course description is:

> "This course examines philosophical, social, cultural, historical, political, and legal issues in schools. It is designed to acquaint students with different theories of learning and to provide students with an opportunity to explore some of the current trends in learning theory and research as they apply to education."

Because of the broad educational content of ED 603, Dr. Hurren's terminal degree in

Educational Leadership provides him with the academic qualifications to teach the course.

Dr. Robert E. Johnson

The ***Report of the Reaffirmation Committee*** requests additional justification concerning Dr.

Johnson teaching the graduate courses **EDL 710 Problem Analysis**, **IL 695 Legal Ethical**

Responsibilities, **IL 696 Internship and Residency**, **ED 644 Ethics and Education**, and

IL 691 Financial and Material Resources. All of the courses taught by Dr. Robert Johnson

are required courses in the Instructional Leadership program. Recently, the Alabama State

Department of Education (ALSDE) changed the name of all Educational Administration

programs and certifications to Instructional Leadership. According to Alabama standard 290-3-

3-.53.01(6) of the Alabama Administrative Code, "In order to offer both Class A and Class AA

programs in Instructional Leadership, the institution must employ at least three faculty

members who are full-time to the institution, hold an earned doctorate in instructional

leadership (educational administration) or a related field, and have a minimum of three years of

experience as an assistant principal, principal, central office supervisor, assistant

superintendent, or superintendent, or administrator of career and technical education, or any

three years combination thereof." (**Alabama Administrative Code**). During the most recent

comprehensive review of the UNA College of Education (Fall 2005) by the Alabama State

Department of Education (ALSDE) and the National Council for Accreditation of Teacher

Education (NCATE), the Doctor of Education (Ed.D.) in Administration and Supervision was

accepted as the appropriate credential for teaching required courses in an Instructional

Leadership (Educational Administration) program (**NCATE BOE Report on Standard 5,**

Faculty Qualifications).

Dr. John I. Landers

The ***Report of the Reaffirmation Committee*** requests additional justification concerning Dr.

Landers teaching the graduate course **ED 582 Internship 6-12**. ED 582 is a semester-long,

culminating activity for all teacher education candidates commonly referred to as internship or

student teaching. During the most recent comprehensive review of the UNA College of

Education (Fall 2005) by the Alabama State Department of Education (ALSDE) and the National

Council for Accreditation of Teacher Education (NCATE), the Doctor of Education (Ed.D.) in

Educational Administration was accepted as an appropriate credential for evaluating the

progress of teacher education candidates in the internship course (**NCATE BOE Report on

Standard 5, Faculty Qualifications**). The Ed.D. in Educational Administration includes

preparation and formal training for current and future administrators in the evaluation of the

teaching performance and effectiveness of all teachers under their supervision across all grade

levels and subjects taught.

Table 1. Revised Faculty Roster in response to *Report of the Reaffirmation Committee*.

Qualifications of Full-Time and Part-Time Faculty			
University of North Alabama			
Academic Terms: <u>Fall 2010, Spring 2011</u>		Date Form Completed: <u>19 December 2011</u>	
1	2	3	4
Faculty (Status)	Course Number (Level) and Title (Hrs)	Relevant Academic Degrees and Course Credits Earned	Other Qualifications
Department of Art, College of Arts and Sciences			
Cain, Jonathan D. (P)	**Fall 2010** AR 170(UT) Art Appreciation (3) **Spring 2011** AR 170(UT) Art Appreciation (3)	M.F.A. in Art, University of Mississippi, 1999. Graduate coursework in teaching field: Euro Art 1900-65 (3), Survey of Black Art (3), Hist/South & Dec Arts (3), Medieval Art (3), Art in America (3), 19 Century European Art (3), North Renaissance Art (3), Modern Architecture (3). Total: 18+ Graduate Semester Hrs - Official transcripts requested	

Department of Foreign Languages, College of Arts and Sciences			
Christy, Thomas C. (F)	**Fall 2010** FL 100(UT) Introduction to Language (3) FL 302(UT) Cross-Cultural Interaction (3) FL 490(UT) Topics Internat'l Studies (3) FL 498(UT) Senior Seminar (1) GR 101(UT) Introductory German (3) GR 111(UT) Language Laboratory (1) GR 201(UT) Intermediate German (3) GR 400W(UT) Pre-Romantic Literature (3) IE 499(UT) Intercultural Experience (1) IE 499(UT) Intercultural Experience (3) **Spring 2011** FL 100(UT) Introduction to Language (3) FL 101(UT) Intro Internat'l Studies (3) FL 101H(UT) Honors Intro Internat'l Studies (3) FL 498(UT) Senior Seminar (1) GR 102(UT) Introductory German (3) GR 112(UT) Language Laboratory (1) GR 202(UT) Intermediate German (3) IE 499(UT) Intercultural Experience (2) IE 499(UT) Intercultural Experience (3)	Ph.D. in Germanic Languages and Literatures, Princeton University, 1980. Graduate coursework in teaching field: Phonology (3), Syntax (3), Dialectology (3), History of Linguistics (3), Elementary Sanskrit (3), History of German Language (3), Studies in the English Language (3), Psycholinguistics (3). Total: 18+ Graduate Semester Hrs	
Critical Languages Program, College of Arts and Sciences			
Arizumi, Koji (PT)	**Fall 2010** JP 101(UT) Elementary Japanese I (4) JP 201(UT) Intermediate Japanese I (4)	D.M.A. in Musical Arts, University of Alabama, 1995.	Examiner of National Association of Self-Instructional Programs (NASILP) (See Information about Critical Languages Program and NASILP). National Association of Self Instructional Language Programs certified examiner. Native speaker. President of Southeastern Association of Teachers of Japanese. American Council on the Teaching of Foreign Languages certified. Relevant conference presentations. Dr. Arizumi will no longer be employed as an examiner for the Critical Languages Program.
Drozd, Andrew M. (PT)	**Fall 2010** RU 101(UT) Elementary Russian I (4)	Ph.D. in Slavic Language and Literature, Indiana University, 1995.	Examiner of National Association of Self-Instructional Programs (NASILP) (See Information about Critical Languages Program and NASILP).

Infranger, S. (FT)	**Fall 2010** PT 101(UT) Elementary Portuguese I (4) **Spring 2011** PT 102(UT) Elementary Portuguese II (4)	Ph.D. in Spanish and Portuguese, Vanderbilt University, 2009.	Examiner of National Association of Self-Instructional Programs (NASILP) (See Information about Critical Languages Program and NASILP).
Kobayashi, Chika (PT)	**Spring 2011** JP 102(UT) Elementary Japanese II (4) JP 202(UT) Intermediate Japanese II (4)	M.A. in Asian Civilization, University of Iowa, 2006. Graduate coursework in teaching field: Studies in Language Acquisition in Japanese (3), Japanese Linguistic (3), Advanced Japanese Pedagogy (3), Second Language Acquisition Research/Thesis (3), Second Language Classroom Learning (3), Japanese Foreign Language Applications (3), Reading in a Second Language. Total 18+ Graduate Semester Hrs.	Examiner of National Association of Self-Instructional Programs (NASILP) (See Information about Critical Languages Program and NASILP). Native Speaker.
Mchombo, Sam A. (PT)	**Fall 2010** SWA 101(UT) Elementary Swahili I (4) **Spring 2011** SWA 101(UT) Elementary Swahili I (4) SWA 102(UT) Elementary Swahili II (4)	Ph.D. in Linguistics, University of London, 1978. Transcripts have been requested.	Examiner of National Association of Self-Instructional Programs (NASILP) (See Information about Critical Languages Program and NASILP).
Omran, Elsayed M. H. (PT)	**Fall 2010** ARB 101(UT) Elementary Arabic I (4) ARB 201(UT) Intermediate Arabic I (4) **Spring 2011** ARB 202(UT) Intermediate Arabic II (4)	Ph.D. in Applied Linguistics, Georgetown University, 1983. Transcripts have been requested.	Examiner of National Association of Self-Instructional Programs (NASILP) (See Information about Critical Languages Program and NASILP).
Department of Marketing and Management, College of Business			
Balch, Dennis R. (F)	**Fall 2010** MG 498(UT) Strategic Management (3) MG 640(G) Management Policy (3) **Spring 2011** MG 496(UT) Honors Symposium in Leadership (3) MG 498(UT) Strategic Management (3)	Ph.D. in English, The University of Arizona, 1977; M.B.A., University of North Alabama, 2007. Graduate coursework in teaching field: Advanced Business Plans New Ventures (3), Special Topics: Reading in Management	Twenty-three years in industry, including strategic planning, relationship development, partner negotiations, organizational development and restructuring in both downsizing and growth situations. Executive corporate experience includes 2.5 years at Dell Computer Corporation (Director, Software Technology, and Director, Portables Systems Engineering) and 20.5 years at Data General Corporation (with the last 3 as Vice-President, Software Development). (Balch Corporate Experience)

	MG 640(G) Management Policy (3)	(3), Corporate Entrep/Intrapreneurship (3), Marketing Strategy (3), Management Policy (3), International Entrepren/New Ventures Development (3), Special Topics: Reading in Management (3), Special Topics: Business Valuation (3). Total: 18+ Graduate Semester Hrs	Authored/co-authored five refereed journal articles in the last 5 years. Two of the articles are in the field of strategic management and policy. The other three articles are in the ethics area, a component of management policy and strategic management. (Balch Publications)
Department of Secondary Education, College of Education			
Hurren, Byron L. (F)	**Fall 2010** ED 480W(UT) Mat & Methods of High Sch Tch (3) ED 603(G) Psychology of Learning (3) **Spring 2011** ED 480W(UT) Mat & Methods of High Sch Tch (3) ED 603(G) Psychology of Learning (3)	Ph.D. in Educational Leadership, University of Nevada, 2001; M.Ed. in Secondary Education, University of Nevada, 1992. Graduate coursework in teaching field: Advanced Methodology (3), Jr Hi/Middle School (3), Secondary School Curriculum (3), Social Foundations of Ed (3), Philosophy of Ed (3), Crucial Issues in Ed (3), Read/Writ Secondary School (3), Teaching Foreign Lang (3). Total: 18+ Graduate Semester Hrs	The broad educational content of ED 603 is not reflected in the current title and and course description. The Department of Secondary Education therefore has proposed a title and course description change to reflect current course content (see current course syllabus). The terminal degree in Educational Leadership provides the academic credentials needed to qualify Dr. Hurren to teach the content of the current course.
Johnson, Robert E. (F)	**Fall 2010** ED 299(UT) Human Growth and Development (3) EDL 710(G) Prob Analysis in Ed Ldrship I (3) IL 695(G) Legal and Ethical Responsibilities (3) IL 696(G) Internship and Residency IL (3) **Spring 2011** ED 644(G) Ethics and Education (3) EDL 701(G) Leadership Development (3)	Ed.D. in School Administration and Supervision, University of Mississippi, 1972.	All of the courses taught by Dr. Robert Johnson are required courses in the Instructional Leadership program. Recently, the Alabama State Department of Education (ALSDE) changed the name of all Educational Administration programs and certifications to Instructional Leadership. According to Alabama standard 290-3-3-.53.01(6) of the Alabama Administrative Code, "In order to offer both Class A and Class AA programs in Instructional Leadership, the institution must employ at least three faculty members who are full-time to the institution, hold an earned doctorate in instructional leadership (educational administration) or a related field, and have a minimum of three years of experience as an assistant principal, principal,

	IL 691(G) Financial & Material Resources (3)		central office supervisor, assistant superintendent, or superintendent, or administrator of career and technical education, or any three years combination thereof." (Alabama Administrative Code). During the most recent comprehensive review of the UNA College of Education (Fall 2005) by the Alabama State Department of Education (ALSDE) and the National Council for Accreditation of Teacher Education (NCATE), the Doctor of Education (Ed.D.) in Administration and Supervision was accepted as the appropriate credential for teaching required courses in an Instructional Leadership (Educational Administration) program (NCATE BOE Report on Standard 5, Faculty Qualifications).
Landers, John I. (P)	**Fall 2010** ED 482(UT) High School Student Internship (6) ED 582(G) High School Internship (4.5) **Spring 2011** ED 482(UT) High School Student Internship (6) ED 582(G) High School Internship (4.5)	Ed.D. in Educational Administration, The University of Alabama, 1992.	ED 582 is a semester-long, culminating activity for all teacher education candidates commonly referred to as internship or student teaching. During the most recent comprehensive review of the UNA College of Education (Fall 2005) by the Alabama State Department of Education (ALSDE) and the National Council for Accreditation of Teacher Education (NCATE), the Doctor of Education (Ed.D.) in Educational Administration was accepted as an appropriate credential for evaluating the progress of teacher education candidates in the internship course. (NCATE BOE Report on Standard 5, Faculty Qualifications). The Ed.D. in Educational Administration includes preparation and formal training for current and future administrators in the evaluation of the teaching performance and effectiveness of all teachers under their supervision across all grade levels and subjects taught.

Sources

Alabama Administrative Code

AR 170 Course Description

Balch Publications

Balch Corporate Experience

Critical Languages Program Information

C.S. 3.7.1 of Compliance Certification website

C.S. 3.7.1 of Compliance Certification PDF

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ED 582 - Course Description

ED 603 – Course Description

ED 603 – Course Syllabus

EDL 701 - Course Description

EDL 710 – Course Description

Examiners of Critical Languages Program – Job description

Faculty Credential Certification Form Examples

IL 691 Course Description

IL 695 Course Description

IL 696 Course Description

Magellan Exchange Program website

Magellan Exchange Program PDF

MG 640 – Course Description

MG 640 – Course Syllabus

National Association of Self-Instructional Languages Programs Information website

National Association of Self-Instructional Language Programs Information PDF

NCATE BOE Report on Standard 5, Faculty Qualifications

Report of the Reaffirmation Committee, pp. 22-23; 41

SA 499 – Course Description

UNA Faculty Roster, 2010-2011 website

UNA Faculty Roster, 2010-2011 PDF

3.13.1 Policy Compliance

The institution complies with the policies of the Commission on Colleges. (Note: Institutions are responsible for reviewing the following Commission policies and providing evidence of compliance with those that are applicable.

Off-Site Review Committee Evaluation

1. "Accrediting Decisions of Other Agencies"

Applicable Policy Statement. Any institution seeking or holding accreditation from more than one U.S. Department of Education recognized accrediting body must describe itself in identical terms to each recognized accrediting body with regard to purpose, governance, programs, degrees, diplomas, certificates, personnel, finances, and constituencies, and must keep each institutional accrediting body apprised of any change in its status with one or another accrediting body.

Non-Compliance

The institution did not address other U.S. Department of Education recognized accrediting bodies. According to its website the institution holds accreditation by the following bodies:

- *National Council for Accreditation of Teacher Education*

- *Commission on English Language Program Accreditation*

- *The Council on Social Work Education*

- *The National Association of Schools of Music*

- *The National Association of Schools of Art and Design*

- *Commission on Collegiate Nursing Education*

- *Council for Accreditation of Counseling and Related Educational Programs*

- *Applied Science Accreditation Commission of ABET*

- *Accreditation Council for Business Schools and Programs*

- *Computing Accreditation Commission*

2. "Collaborative Academic Arrangements: Policy and Procedures"

Applicable Policy Statement. Member institutions are responsible for notifying and providing SACSCOC with signed final copies of agreements governing their collaborative academic agreements (as defined in this policy). These arrangements must address the requirements set forth in the collaborative academic arrangements policy and procedures. For all such arrangements, SACSCOC-accredited institutions assume responsibility for (1) the integrity of the collaborative academic arrangements, (2) the quality of credits recorded on their transcripts, and (3) compliance with accreditation requirements.

Non-Compliance

The institution did not respond to this standard, while information indicates that there are collaborative agreements (see CS 3.4.7).

3. ***"Complaint Procedures Against the Commission or Its Accredited Institutions"***

Compliance

Note: The text from the ***Report of the Reaffirmation Committee*** is not reproduced here for 3.13.1 parts 3-5 as the University was either judged "in compliance" for these areas (as indicated below) or the individual policy was not applicable to UNA.

4. ***"Distance and Correspondence Education"***

Compliance

5. ***"Reaffirmation of Accreditation and Subsequent Reports"***

a. Compliance

b. Not Applicable

6. ***"Separate Accreditation for Units of a Member Institution"***

a. Not Applicable

b. Not applicable

c. Not Applicable

University Response

The ***Report of the Reaffirmation Committee*** (see above) determined that the University was non-compliant with the first two Commission Policies (i.e., "Accrediting Decisions of Other Agencies" and "Collaborative Academic Arrangements: Policy and Procedures"). In the University's Compliance Certification these policies were addressed individually as **C.S. 3.13.1**

(**PDF**) and **C.S. 3.13.2** (**PDF**). Below is a separate response to each policy for which UNA was

deemed non-compliant.

Policy 1. "Accrediting Decisions of Other Agencies"

In response to the **evaluation finding for Policy 1** (see above), the University provides

additional information concerning accreditations held by the University of North Alabama

through various accrediting bodies. In addition to institutional accreditation through the

Commission on Colleges of the Southern Association of Colleges and Schools, the

University of North Alabama currently maintains program-specific accreditation from the

following **U.S. Department of Education recognized accrediting bodies**, **PDF** (as of

December 2011):

- **Commission on Collegiate Nursing Education** (CCNE), **PDF** – **Accredited in 2010** for the Bachelor's of Nursing degree program; **2008** for the Master's of Nursing Program.

- **National Association of Schools of Art and Design** (NASAD), **PDF** - Last **reaffirmed in 2007** (onsite review in 2006) for the BA/BS in Art, BFA in Art (ceramics, painting, photography, sculpture, and digital media), BS in Education/Art (teacher certification), and Interior Design degree program.

- **National Association of Schools of Music** (NASM), **PDF** - Last **reaffirmed in 2003** (onsite review in 2002) for BA/BS degree programs in Music (Teacher Certification); the next on-site evaluation visit for accreditation reaffirmation is scheduled for March 2012.

- **National Council for Accreditation of Teacher Education** (NCATE), **PDF** – Last **reaffirmed in 2008** for all initial teacher preparation and advanced preparation level programs. (Note: Whereas the letter of reaffirmation indicates the next on-site visit will occur during 2012, NCATE has since deferred UNA's next evaluation visit until 2013.)

The University uses any required language specified by the accrediting agencies to portray

accreditation membership or status. Examples include the portrayal of accreditation granted by

CCNE, **NASAD**, **NASM**, and **NCATE**.

Other Discipline-Specific Accreditations. The University of North Alabama lists its

accreditation status with the accreditors outlined above and other non-DOE-recognized

accrediting agencies on the University's **website** (**PDF**) and in both the **undergraduate** and

graduate catalogs.   The University holds accreditation through the following accrediting

bodies that are not currently recognized by the U.S. Department of Education:

- **Accreditation Council for Business Schools and Programs** (ACBSP), **PDF**

- **Applied Science Accreditation Commission** (ASAC) of the Accreditation Board for Engineering and Technology (ABET), **PDF**

- **Computing Accreditation Commission** (CAC) of the Accreditation Board for Engineering and Technology (ABET), **PDF**

- **Council for Accreditation of Counseling and Related Educational Programs** (CACREP), **PDF**

- **Council on Social Work Education** (CSWE), **PDF**

Changed Program Status with an Accrediting Agency. In 2007, the University received

discipline-specific accreditation through the **Commission on English Language Program**

Accreditation (CEA) for UNA's Center for English Language Learning, an ESL program for

international students. The University was slated for consideration of reaffirmation of

accreditation through CEA during 2011-2012. UNA has voluntarily withdrawn from

accreditation through CEA and is currently re-evaluating its program in this area. A letter

notifying the SACS Commission on Colleges of UNA's **change of status with CEA** was sent on

December 8, 2011. Reference to this previous accreditation has been removed from UNA's

website and will not appear in subsequent editions of the University's undergraduate and

graduate catalogs.

The University describes itself in identical terms to each recognized accrediting body with

regard to purpose, governance, programs, degrees, diplomas, certificates, personnel, finances,

and constituencies. Such information is presented via a variety of avenues, including the

University's **website** (**PDF**), **undergraduate** and **graduate catalogs**, and other resources

such as the **Shared Governance website** (**PDF**) and **institutional data reports** (**PDF**).

Policy 2. "Collaborative Academic Arrangements: Policy and Procedures"

In response to the **evaluation findings for Policy 2** of the ***Report of the Reaffirmation***

Committee (see above), the University provides clarifications and additional information. The

University of North Alabama has provided SACSCOC with signed information governing all

collaborative academic arrangements currently in existence and will continue to do so for any

future arrangements. The notification process is coordinated through the Office of Academic

Affairs and the Office of the President. All agreements are evaluated to ensure the integrity of

the arrangements, the quality of credits recorded on transcripts, and compliance with

accreditation requirements. Two programs were identified in the original response as

collaborative and/or consortial academic arrangements. These are Dauphin Island Sea Lab,

and the Master of Science in Nursing program. The table below provides the date(s) of

notification and responses by SACSCOC for the Master of Science in Nursing program.

Table 13.1. Dates and responses by the SACSCOC for the Master of Science in Nursing Program.

Notification of the University's proposed online Master of Science in Nursing (M.S.N.) program. (**January 24, 2006**)	On **February 20, 2006**, SACS Commission on Colleges acknowledged notification, including recognition that UNA contracts with Jacksonville State University (also a SACSCOC-accredited institution) to deliver 12 of the credit hours. The SACSCOC requested additional information (below).
Notification of faculty roster qualifications submitted as part of the online M.S.N. program. (**March 7, 2006**)	On **March 24, 2006**, SACS Commission on Colleges accepted information provided on nursing faculty qualification and requested clarification regarding discipline-specific library resources.
Notification of the library's resources relating to online M.S.N. program. (**April 11, 2006**)	On **May 23, 2006**, SACS Commission on Colleges accepted the notification and approved the University's online M.S.N. program.

The relationship between the University of North Alabama and Dauphin Island Sea Lab was

established by state mandate in ***Code of Alabama 1975, Section 16-45-1*** in 1975. This

involves the provision of **specialized courses at the Dauphin Island Sea Laboratory**

(DISL) (**PDF**) near Mobile, Alabama, for UNA students majoring in marine biology as well as

the **21 other four-year colleges and universities of Alabama** (**PDF**).

To ensure the integrity of the arrangements, the quality of credits recorded on transcripts, and compliance with accreditation requirements the University employs the following policies and/or procedures.

Ensuring the Integrity of Collaborative Agreements. All academic consortial and contractual agreements are subject to review and approval by the program faculty and appropriate school administrators. All academic consortial and contractual agreements are signed by the President of the University. Each level of review ensures that a proposed educational program is consistent with both the mission of the institution and the goals of the department and college.

Specific curriculum requirements for individual degrees, majors and/or minors are determined by the faculty in the department for which the degree is awarded. The University's faculty initiate proposals for program and curriculum requirements that are appropriate for higher education. The creation of any collaborative or consortial agreement is governed by the same process required for any curricular change. The approval process for new educational programs usually begins with individual faculty members identifying needs, or at the departmental level in which the program will reside. The specific curriculum review and approval processes are described in Curriculum Development, **Section 3.3.3**, of the *UNA Faculty Handbook*, May 2011. In general, the review and approval of curricular change originates at the department level and continues at the college level where review is conducted by the college curriculum committee. The **UCC form** required for any submission of any curricular changes ensures that changes flow from the departmental level to the appropriate college committee to the University Curriculum Committee. Proposed curricular changes that receive approval at the college level are then transmitted to the Vice President for Academic Affairs and Provost with recommendation for submission to either the Undergraduate Curriculum Committee or the Graduate Council, as appropriate. Proposals for change that are approved at this level are then submitted to the

President for final action. The University of North Alabama employs this process to ensure the quality and effectiveness of its curriculum, as evidenced by both the **Undergraduate Curriculum Committee Minutes** (**UCC Change Proposal**) and the **Graduate Council Minutes**. In addition, all undergraduate and graduate degree programs must be approved the Alabama Commission for Higher Education (ACHE) (**ACHE Procedures for the Evaluation and Review of New Programs**; **New Program ACHE Submission-Undergraduate and Graduate Example**).

The UNA Faculty Handbook identifies the Undergraduate Curriculum Committee as the entity that initiates, reviews, and recommends curricular change in courses and programs at the university level; communicates its deliberations and findings to the President, and after discussion with the President, to the university community; and reports to the President through the Vice President for Academic Affairs and Provost (***UNA Faculty Handbook*, May 2011, Section 1.6**). Similarly, the Graduate Council has overall responsibility (subject to the action of the President and the Board of Trustees) for the organization, administration, and operation of graduate studies through the formulation of policies, procedures, regulations, programs, and courses. The council also serves as a board of appeal on graduate matters (***UNA Faculty Handbook*, May 2011, Section 1.7**).

Both the Undergraduate University **Curriculum Committee membership** and the **Graduate Council membership** include faculty members from all colleges of the University. The Undergraduate Curriculum Committee is composed of five faculty from the College of Arts and Sciences, recommended by the Faculty Senate; three faculty from the College of Business, recommended by the Faculty Senate; three faculty from the College of Education, recommended by the Faculty Senate; one faculty from the College of Nursing and Allied Health, recommended by the Faculty Senate; and one student recommended by the Student Government Association. The Vice President for Academic Affairs and Provost and all deans are

non-voting members of this committee (***UNA Faculty Handbook*, May 2011, Section 1.6**). The Graduate Council is composed of the following members nominated and selected by the Graduate Faculty: two graduate faculty from the College of Arts and Sciences; two graduate faculty from the College of Business; two graduate faculty from the College of Education, two graduate faculty from the College of Nursing and Allied Health; and four graduate student representatives, one each from the College of Arts and Sciences, the College of Business, the College of Education, and the College of Nursing and Allied Health. The Vice President for Academic Affairs and Provost, the Coordinator of Graduate Studies, all deans, and the Director of Library Services serve as ex-officio members of the Council (***UNA Graduate Catalog*, 2011-2012, p. 11**). The Graduate Council composition is also identified in the *UNA Faculty Handbook*, May 2011, (**Section 1.7**).

Ensuring the Quality of Credits Recorded on Transcripts. The University of North Alabama requires that at least 25 percent of the credit hours required for a degree are earned through instruction offered by the University. For completion of a bachelor's degree program, the University requires "a minimum of 128 semester hours of credit" (***UNA Undergraduate Catalog*, 2011-2012, pp. 55-56**). In addition, the University's residence requirement states that "a candidate for graduation must have earned a minimum of 32 semester hours of upper division credit (courses at the 300-400 levels) at the University of North Alabama" (***UNA Undergraduate Catalog*, 2011-2012, pp. 55-56**). This constitutes 25 percent of the 128 minimum hours required for graduation. See Comprehensive Standard **3.4.6** (**PDF**) for additional information regarding policies associated with the awarding of credit.

Courses from consortial agreements are not considered "transfer work." All work completed through Dauphin Island Sea Lab is identified on the transcript as originating with the University's Department of Biology. Oversight of credit for these courses is therefore governed by departmental, college, and university policy.

Ensuring Compliance with Accreditation Requirements. The University's collaborative agreement for the Master of Science in Nursing program is with Jacksonville State University which is currently accredited by the SACS Commission on Colleges. The consortium currently in place with Dauphin Island Sea Lab was established by law in 1975 and involves 22 state institutions. All member institutions are accredited by SACSOC (**SACSCOC Accreditation-MESC**).

Sources

ACBSP Detailed Accreditation Listing for UNA, PDF

ACBSP Website Accreditation Listing for UNA

ACBSP Website Accreditation Listing for UNA, PDF

ACHE Procedures for the Evaluation and Review of New Programs Example

Letter to SACS COC on April 11, 2006

ASAC of ABET Website Accreditation Listing for UNA, Industrial Hygiene

ASAC of ABET Website Accreditation Listing for UNA, Industrial Hygiene, PDF

CAC of ABET Website Accreditation Listing for UNA, Computer Information Systems

CAC of ABET Website Accreditation Listing for UNA, Computer Information Systems, PDF

CACREP Website Accreditation Listing for UNA

CACREP Website Accreditation Listing for UNA, PDF

CCNE Letter of Accreditation for BSN

CCNE Letter of Accreditation for MSN

CCNE Website Accreditation Listing for UNA

CCNE Website Accreditation Listing for UNA, PDF

CEA Accreditation Certificate for ESL Program

Code of Alabama 1975, Section 16-45-1

C.S. 3.4.6

C.S. 3.4.6, PDF

C.S. 3.13.1

C.S. 3.13.1, PDF

C.S. 3.13.2

C.S. 3.13.2 PDF

CSWE Website Accreditation Listing for Social Work

CSWE Website Accreditation Listing for Social Work, PDF

Curriculum Committee Membership

Dauphin Island Courses

Dauphin Island Courses PDF

DISL Members - Four-year Colleges and Universities of Alabama

DISL Members – Four year Colleges and Universities of Alabama PDF

Evaluation Findings for C.S 3.13, Policy 1

Evaluation Findings for C.S. 3.13, Policy 2

Graduate Council membership

Graduate Council Minutes

Letter to SACS COC on February 20, 2006

Letter to SACS COC on January 24, 2006

Letter to SACS COC on Change of CEA Status

Letter to SACS COC March 7, 2006

Letter to SACS COC March 24, 2006

Letter to SACS COC May 23, 2006

NASAD Letter of Reaffirmation of Accreditation

NASAD Website Accreditation Listing for UNA

NASAD Website Accreditation Listing for UNA, PDF

NASM Letter of Reaffirmation of Accreditation

NASM Website Accreditation Listing for UNA

NASM Website Accreditation Listing for UNA, PDF

NCATE Letter of Reaffirmation of Accreditation

NCATE Website Accreditation Listing for UNA

NCATE Website Accreditation Listing for UNA, PDF

New Program ACHE Submission-Undergraduate and Graduate

UCC Change Proposal

SACSCOC Accreditation - MESC

UCC Form

UNA Accreditation Status with SACS COC

UNA Accreditations, 2012

UNA Accreditations, 2012, PDF

UNA Faculty Handbook, May 2011, Section 1.6

UNA Faculty Handbook, May 2011, Section 1.7

UNA Faculty Handbook, May 2011, Section 3.3.3

UNA Graduate Catalog, 2011-2012

UNA Graduate Catalog, 2011-2012, p. 11

UNA Graduate Catalog, 2011-2012, title page (CNNE)

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UNA Institutional Data Website

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UNA Undergraduate Catalog, 2011-2012

UNA Undergraduate Catalog, 2011-2012, p. 3

UNA Undergraduate Catalog, 2011-2012, pp. 55-56

UNA Undergraduate Catalog, 2011-2012, p. 73 (NASAD)

UNA Undergraduate Catalog, 2011-2012, p. 124 (NASM)

UNA Undergraduate Catalog, 2011-2012, p. 160 (NCATE)

UNA Undergraduate Catalog, 2011-2012, p. 191 (CCNE)

UNA Undergraduate Catalog, 2011-2012, title page (NCATE)

Undergraduate Curriculum Committee Minutes

U.S. Department of Education Recognized Accrediting Bodies

U.S. Department of Education Recognized Accrediting Bodies, PDF

4.8 Distance and Correspondence Education

An institution that offers distance or correspondence education

4.8.1 demonstrates that the student who registers in a distance or correspondence education course or program is the same student who participates in and completes the course or program and receives the credit by verifying the identity of a student who participates in class or coursework by using, at the option of the institution, methods such as (a) a secure login and pass code, (b) proctored examinations, or (c) new or other technologies and practices that are effective in verifying student identification.

4.8.2 has a written procedure for protecting the privacy of students enrolled in distance and correspondence education courses or programs.

4.8.3 has a written procedure distributed at the time of registration or enrollment that notifies students of any projected additional student charges associated with verification of student identity.

Comment: The addition of the new standard addresses the U.S. Department of Education's expectation that recognized accrediting commissions need to require its accredited institutions to authenticate that students registering in distance or correspondence education are the same students participating in class or coursework and receiving credit. In accord with DOE policy, the standards also require a procedure protecting the privacy of students enrolled in such programs and also expect an institution to have procedures for notifying students of any additional student charges associated with the verification of student identity.

Judgment

Compliant

Narrative

The University discusses compliance with each of the subdivisions of F.R. 4.8 that are

listed below.

4.8.1- An institution that offers distance or correspondence education demonstrates that the student who registers in a distance or correspondence education course or program is the same student who participates in and completes the course or program and receives the credit by verifying the identity of a student who participates in class or coursework by using, at the option of the institution, methods such as (a) a secure login and pass code, (b) proctored examinations, or (c) new or other technologies and practices that are effective in verifying student identification.

Distance learning students enrolled at the University of North Alabama are identified with

a unique user name and password giving the students access to their course homepage,

as well as their campus e-mail, billing, registration, grade reports, and other services

(**see C.S. 3.13.4**). The unique name/password assures that the student who

participates in the course work is the same student who registered for the course. All

students (both traditional and distance learning) are issued their user name and

password at the time of admission to the University, and there is no additional charge for

this service.

Information clarifying the use of students' user names/passwords (within UNAPortal) is

available in a variety of places, including the University's **website** (**PDF**), the ***Schedule***

of Classes and, specifically for Distance Learning Students, on the **Distance Learning**

website (**PDF**) and in the **University of North Alabama Distance Learning Policies**

and Procedures Manual, excerpted below.

> *1.9 IDENTIFICATION OF STUDENTS The student who registers for an*
> *online course must be the same individual who completes the coursework*
> *and receives the course credit; this is verified through the use of a secure*
> *login and password. Each university student is issued a unique user name*
> *(created by the UNA Portal system) which also provides authenticated*
> *access to other systems (Banner, ANGEL, etc.). A secure login and*
> *password is required to access the student's account, including the course*
> *homepage.*

Most online classes have online testing, which uses the same identification system

(unique user name/password), but a few classes require proctored exams. A secondary

method of identification is used in the event a student takes a proctored exam; in that

case two photo IDs must be presented before the student can take an exam. The

complete **testing center rules** are published online and are easily accessible to

students.

Students may arrange to use the testing services of the Office of Distance Learning to

take proctored exams on campus, but for those students who are truly distant and

unable to come to the University, it is necessary to arrange for an off-campus proctor.

The Distance Learning Office works with students to find a qualified proctor and sends

the appropriate materials (including information on administering the exam) to the

distant site (see **Instructions for Proctors** and **Coats E-mail Regarding Proctors**).

Information on using an off-campus proctor is available to students on the **UNA**

Distance Learning site (**PDF**).

4.8.2 - An institution that offers distance or correspondence education has a written procedure for protecting the privacy of students enrolled in distance and correspondence education courses or programs.

As stated in **C.S. 3.13.4**, the University is committed to protecting student privacy in

accordance with the Family Education Rights and Privacy Act (FERPA), and has processes

in place to protect that privacy as described in the ***UNA Student Handbook & Planner,***

2011-2012, p. 25, the ***UNA Undergraduate Catalog, 2011-2012, p. 17***, and the

UNA Graduate Catalog, 2011-2012, pp. 15-16. Additional details covering student

records, confidentiality, and the protection of student privacy are offered in the narrative

for **C.S. 3.9.2**.

4.8.3 - An institution that offers distance or correspondence education has a written procedure distributed at the time of registration or enrollment that notifies students of any projected additional student charges associated with verification of student identity.

The University does not have any current or projected additional student charges

associated with verification of student identity.

Sources

Coats E-mail Regarding Proctors

C.S. 3.9.2

C.S. 3.13.4

Instructions for Proctors

UNA - Frequently Asked Questions - UNAPortal and Password

UNA - Frequently Asked Questions - UNAPortal and Password PDF

UNA Class Schedule - Fall 2011

UNA Class Schedule - Fall 2011 PDF

UNA Class Schedule - Fall 2011, p. 17 PDF

UNA Distance Learning - Frequently Asked Questions

UNA Distance Learning - Frequently Asked Questions PDF

UNA Distance Learning Policies and Procedures Manual, p. 6 PDF

UNA Distance Learning Proctor Information

UNA Distance Learning Proctor Information PDF

UNA Distance Learning Testing Center Rules PDF

UNA Graduate Catalog, 2011-2012, pp. 15-16

UNA Student Handbook & Planner, 2011-2012, p. 25

UNA Undergraduate Catalog, 2011-2012, p. 17

4.9 Definition of Credit Hours

The institution has policies and procedures for determining the credit hours awarded for courses and programs that conform to commonly accepted practice in higher education and Commission policy. (Definition of credit hours) (See Commission policy "Credit Hours.")

Comment: The addition of the new standard addresses the U.S. Department of Education's expectation that recognized accrediting commissions require an institution to have a policy that outlines how an institution defines and awards credit hours for courses and programs.

Judgment

Compliant

Narrative

UNA's Council of Academic Deans has reviewed the following policy and reaffirms the process

for awarding academic credit at the University (**December 7, 2011 COAD minutes**). This

process is consistent with commonly accepted practice in higher education.

Determination of Credit

Credit is awarded in semester hour units based on semesters of 15 weeks and contact hours of

50 minutes. The following guidelines - as well as requirements of accreditors and government

agencies, when appropriate - are used in determining the appropriate amount of credit to be

awarded.

Lecture and seminar classes: one semester hour credit is based on a minimum of one hour

of instructional engagement per week for a semester.

Laboratory, clinical placement, and studio experiences: one semester hour credit is based

on a minimum of two to three hours of laboratory, clinical placement, or studio engagement

weekly over the course of a semester, considering, also, the amount of student work required

outside the laboratory, clinical placement, or studio.

Individual, online, and blended learning classes: A minimum of one hour of instructional engagement, on average, is expected each week through the semester for each semester hour credit.

Credit by Examination: Credit may be awarded for performance on national and international examinations – for example CLEP, DANTES, AP, and IB – in accordance with generally accepted standards.

For academic terms shorter than 15 weeks, instructional engagement will be adjusted proportionately for the number of weeks of the term, but must equal at least the minimum credit hour expectations stated above.

Assignment of Course Credit

Determination of specific course credit adheres to the policy outlined above. This information is incorporated into any course, curricular, and/or program change that is proposed. These changes must follow the curriculum change and/or approval process referenced in **C.S. 3.4.1**, **PDF**.

Sources

C.S. 3.4.1, PDF
December 7, 2011 COAD minutes