A quick, easy, low-cost compliance readiness audit (CS-107)

Tim Metz

Assistant Vice Chancellor

Institutional Planning and Effectiveness

Western Carolina University

2022 SACSCOC Annual Meeting

Western Carolina UNIVERSITY

LOCATION

-Cullowhee, NC (1 hour west of Asheville, NC)

-3 hours from Charlotte, Atlanta and Knoxville

-Rural, regional, comprehensive, public

MISSION

As Western North Carolina's regional comprehensive university, Western Carolina University is dedicated to academic excellence, affordability, and access. WCU inspires student learning through innovative teaching, nationally recognized programs, exceptional support, and a robust connectedness with surrounding communities in Southern Appalachia, including the Eastern Band of Cherokee Indians. Through a broad range of scholarly activities, our faculty and students seek to better understand our region, state, nation, and world. With an emphasis on engaging students both inside and outside the classroom, WCU's bachelor's, master's, and professional doctoral programs in Cullowhee, Asheville, and online aim to improve lives and promote economic prosperity throughout Western North Carolina and beyond.

STUDENTS

~12,000 headcount

~10,000+ undergraduate

~9,500+ residential

~9,500+ full-time student

-87% NC residents

WHY A COMPLIANCE READINESS AUDIT?

Minimize surprises:

- Avoid non-compliance "discoveries"
- Clean-up problem areas early
- Identify gaps in policy and process
- Identify gaps in documentation
- Stakeholder awareness

Stakeholder awareness:

- Reinforce theme of ongoing compliance
- Promote understanding of accreditation needs
- Mentally/emotionally prepare partners for the upcoming work

Western Carolina University

Fifth year reporting timeline
(October 2020 – March 2023)

AUDIT TIMELINE

Audit process developed over three months (October – December 2020)

COMPLIANCE READINESS AUDIT TIMELINE

Date	Action	Notes
January 13, 2021	Roles announcement	Email to principle coordinators and accountable executives
February 2021	Coordinator orientation meeting	Recorded Zoom meeting
May 3, 2021	Audit announcement	Email to principle coordinators and audit reviewers
May 24, 2021	Audit orientation meeting	Principle coordinators; audit review team members
June 1, 2021	Coordinator review begins	
July 12, 2021	Distribute coordinator survey	
July 19, 2021	Coordinator review deadline	Close coordinator survey
July 26, 2021	Auditor review begins	
August 16, 2021	Auditor review deadline	
September 1, 2021	Audit report distribution	To Accountable Executives and Coordinators
October 2021	Coordinator meetings	Meetings for "at risk" principles
December 1, 2021	Initiate 5th year report process	Meeting of 5th Year Report Steering Committee

MANAGING ROLES

	Principles (2018 Edition)	5th year report	Description	Accountable Executive	Coordinator (role)	Coordinator (name)	Key stakeholders
32	7.3 (Administrative effectiveness)	No	The institution identifies expected outcomes of its administrative support services and demonstrates the extent to which the outcomes are achieved.	Vice Provost	Director of Assessment	Amy Strickland	Institutional Effectiveness Council members
33	8.1 (Student achievement) [CR]	Yes	The institution identifies, evaluates, and publishes goals and outcomes for student achievement appropriate to the institution's mission, the nature of the students it serves, and the kinds of programs offered. The institution uses multiple measures to document student success.	Vice Provost	Assistant Vice Chancellor for Institutional Planning and Effectiveness	Tim Metz	AVC, Student Success Graduate Deans Council
34	8.2.a (Student outcomes: educational programs)	Yes	The institution identifies expected outcomes, assesses the extent to which it achieves these outcomes, and provides evidence of seeking improvement based on analysis of the results of student learning outcomes for each of its educational programs.	Vice Provost	Director of Assessment	Amy Strickland	Academic Program Directors
35	8.2.b (Student outcomes: general education)	No	The institution identifies expected outcomes, assesses the extent to which it achieves these outcomes, and provides evidence of seeking improvement based on analysis of the results of student learning outcomes for collegiate-level general education competencies of its undergraduate degree programs.	Vice Provost	Director of Liberal Studies Assessment	Jen Schiff	Liberal Studies Committee

ROLE ASSIGNMENTS

Role assignments verified/approved by supervisors prior to communication with assignees

Western Carolina UNIVERSITY | Institutional Planning and Effectiveness

December 16, 2020

SACSCOC standards roles communication

Dear XXX,

I'm contacting you regarding advanced preparations for the SACSCOC *5th Year Report*. The *5th Year Report* involves demonstrating compliance for 21 of the 72 accreditation standards. Typically, the demonstration of compliance involves providing 2-3 years of supporting documentation. WCU will be notified in April 2022 concerning the *5th Year Report*, which is due to SACSCOC in March 2023. Typical preparations for the *5th Year Report* span two years of effort. During the summer of 2021 I will be conducting a compliance audit to determine WCU's standing for each of the standards included in the *5th Year Report*, so that any adjustments needed can occur during the 2021-22 academic year.

To ensure we are adequately monitoring compliance with the SACSCOC standards, I've developed the attached draft document assigning roles for each standard. The strategy utilized is similar to that for reporting on the University *2020 Vision* Strategic Plan, with role assignments of an accountable executive, a coordinator, and key stakeholders. The coordinator role will be the primary point of contact for communications related to SACSCOC compliance and reporting. The coordinator will likely play a primary role in the composition of the compliance narrative for the assigned standard. The accountable executive would ensure that the required work and documentation is accomplished satisfactorily.

I'm asking that you review assignments to you or staff in your division. I request your feedback as to proposed reassignments and other individuals recommended for coordinator or stakeholder roles. The document provides filters in the top row which can be utilized to limit the view to specific positions of interest. Notes (recommendations and questions) can be added in <u>column H</u>.

I would like your response by **<u>Friday, January 8th</u>**. I plan to announce the assigned roles on Monday, January 11th.

ROLE ANNOUNCEMENT

Principle coordinators identified and notified a year in advance of report writing phase

Western Carolina UNIVERSITY | Institutional Planning and Effectiveness

January 13, 2021

SACSCOC Compliance Roles announcement

Email subject line: Announcing roles for SACSCOC standards compliance

This message is being sent to announce roles for SACSCOC standards compliance. You are receiving this message as you have been designated a coordinator role for one or more SACSCOC standards (principles). The purpose of these role assignments is to ensure maintenance of compliance with SACSCOC standards, and to ensure WCU is well prepared for the upcoming 2023 Fifth-year Report, and the 2027 Decennial Reaffirmation Report.

An updated SACSCOC information site (SharePoint) is available for your use (https://intranet.wcu.edu/academicaffairs/sacs/Pages/default.aspx). It provides information on role assignments, resources for each SACSCOC standard, prior reports to SACSCOC, and a repository for documents intended as evidence of compliance with SACSCOC standards. You are welcome to visit the site, and familiarize yourself with the available information. Individuals designated as coordinators have the responsibility to compile evidence demonstrating compliance with the assigned standard(s). Often, SACSCOC expects 2-3 years of supporting documentation.

Role orientation meetings (Zoom) are being offered so that you can learn more about your role, related responsibilities, and the SACSCOC SharePoint site. Orientation meeting invitations will be sent via email. The meeting will be recorded for those unable to attend.

The attached document provides a brief overview of the SACSCOC SharePoint site.

If desired, please use one of the following links to register for an orientation webinar.

If you have any questions concerning your role(s), please feel free to contact me.

Sincerely,

Tim

COORDINATORS ORIENTATION

- *Multiple opportunities to meet*
- *Recording provided to non-attenders*

SACSCOC Roles Orientation: Zoom Meeting Registration

Colleagues,

You are invited to register for a Zoom meeting providing an orientation to SACSCOC Standard roles and responsibilities. An overview of the SACSCOC SharePoint site will be presented.

Three identical meetings are scheduled – please register for the meeting which best fits your schedule. The meeting will be recorded and posted to the SACSCOC SharePoint site, if you are unable to attend any of the meetings.

1st meeting option

When: **Feb 10, 2021 03:00 PM** Eastern Time (US and Canada)

Register in advance for this meeting:

https://wcu.zoom.us/meeting/register/tZctdu-hqj0oE9z9O64R_QM_B6laXWmc-yT1

2nd meeting option

When: **Feb 11, 2021 11:00 AM** Eastern Time (US and Canada)

Register in advance for this meeting:

https://wcu.zoom.us/meeting/register/tZIodeyspzMoHNVuvq-eDbS65anOmDs_7TWy

3rd meeting option

When: **Feb 15, 2021 03:00 PM** Eastern Time (US and Canada)

Register in advance for this meeting:

https://wcu.zoom.us/meeting/register/tZMscO2gpz0oHdHDrsITifSLGEaLLFU3ETer

Academic Affairs   Colleges and Departments ▾   SACS-COC   SharePoint Portals ▾   Faculty Senate ▾   2020 Strategic Plan Refresh 2.0

Home

CURRENT COMPLIANCE ROLES

Overview

Individuals can view their roles for individual SACSCOC standards. A master document (Excel file) depicting all standards and role assignments is accessible via th SACSCOC principles roles.xlsx

NEW - *SACSCOC roles webinar video (35 minute video providing an overview of the coordinator role, the SACSCOC SharePoint site, and demonstration of the Co Repository)*

Definitions

- ***Accountable Executive*** - the lead administrator who is ultimately responsible for compliance with the standard
- ***Coordinator*** - The individual who is responsible to coordinate and maintain compliance with the standard, and compile supporting evidence
- ***Key stakeholders*** - Individuals who are able to contribute to maintaining compliance with the standard, as well as providing supporting evidence of compliance

Instructions
Each principle (column 1) links to a description of the principle (standard) and descriptive information as to what is expected for compliance with the principle. The information provided is extracted from the SACSCOC *Resource Manual for the Principles of Accreditation*.

Key items in the left side navigation menu include:

- *SACSCOC Resources Content Library* - contains official SACSCOC documents describing the accreditation process, and guidelines for compliance
- *Compliance Artifact Repository* (library) - provides coordinators and key stakeholders a means to upload supporting documents to demonstrate compliance with each

Left navigation

Updated Pages

Home

How To Use This Library

Recent

Current Compliance Roles

SACSCOC Resources

Content Libraries

Compliance Artifact Repository

SACSCOC Resources

2023 Fifth-year Report

2017 Reaffirmation

2013 Fifth-Year Report

2007 Reaffirmation

Site Contents
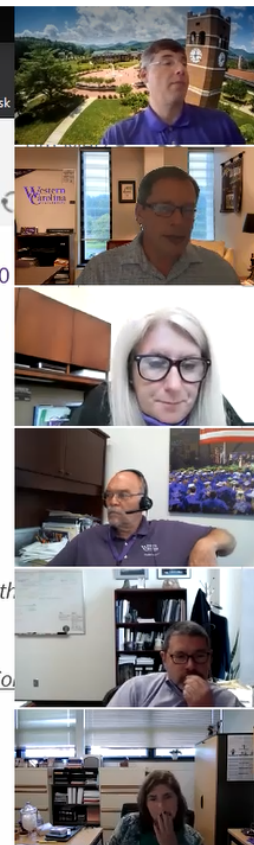
COORDINATORS ORIENTATION

Step-by-step instructions (with screenshots) for access to and navigation of SharePoint site

QUICK START GUIDE TO SACSCOC SHAREPOINT

Access SACSCOC Sharepoint via Academic Affairs Sharepoint @
https://intranet.wcu.edu/academicaffairs/SitePages/Home.aspx

or directly @ https://intranet.wcu.edu/academicaffairs/sacs/Pages/default.aspx

SACSCOC ACCREDITATION

This site serves as the main resource site for SACSCOC accreditation resources and standards compliance management. The site contains archived reports for the 2007 decennial reaffirmation, the 2013 fifth-year report, and the 2017 decennial reaffirmation. The site also provides resources for those involved in maintaining ongoing compliance with SACSCOC standards, in preparation for the 2023 fifth year report.

Questions can be directed to Tim Metz, Assistant Vice Chancellor for Institutional Planning and Effectiveness, x3046.

Use the left menu to navigate to sections of interest

Item	Description
Current Compliance Roles	Provides a list of standards and role assignments (coordinators and key stakeholders). Each SACSCOC Standard (Principle) links to additional information on the standard (derived from the *SACSCOC Resource Manual*).
SACSCOC Resources	Contains several official SACSCOC documents for accredited institutions, including Guidelines and Interpretations for Specific Standards
Compliance Artifact Repository	Location to be utilized by Standard Coordinators to upload documents supporting compliance. Directions for use are provided.
2023 Fifth-year Report	Provides information on WCU's upcoming 2023 Fifth-year report, including related official SACSCOC guidelines and templates.

COORDINATORS ORIENTATION

Goal: prepare coordinators for the next two years of work

WCU COMPLIANCE READINESS AUDIT

COORDINATOR CHECKLIST

Overview

The following checklist is provided to guide the work of principle coordinators as they compile documents for demonstration of compliance with assigned principles. Tasks should be completed in advance of the writing phase for the 5th year compliance report (estimated to begin in January 2022).

Coordinator task checklist

☐ Read SACSCOC *Resource Manual* content on assigned principle(s)

☐ Read relevant SACSCOC principle guidelines or interpretations (if available)

☐ Review 2017 WCU compliance report content corresponding to assigned principle (using the principles crosswalk document)

☐ Note any differences in reporting requirements between 2017 compliance report and revised 2018 SACSCOC principles

☐ Clarify any questions on assigned principle reporting requirements with WCU SACSCOC Liaison

☐ Communicate reporting needs and tasks to designated stakeholders and contributors

☐ Identify and verify sources of compliance evidence

☐ Identify and rectify any shortcomings/gaps in compliance evidence

☐ Compile and upload compliance evidence to SACSCOC Sharepoint site

☐ Name and organize uploaded compliance evidence artifacts clearly and logically

WHAT IS MICROSOFT SHAREPOINT?

- Empower teamwork
- Quickly find information
- Seamlessly collaborate across the organization
- Secure place to store, organize, share, and access information

Use tools your stakeholders are familiar with and comfortable using!!!

WHY SHAREPOINT FOR SACSCOC?

myWCU

SACSCOC Resources ⓘ

Current Compliance Roles

SACSCOC Resources

Content Libraries

   2023 Fifth Year Report
   and Compliance
   Artifacts

   SACSCOC Resources

   2017 Reaffirmation

   2013 Fifth-Year Report

   2007 Reaffirmation

Recent

   2023 Fifth Year
   Templates and
   Directions

Site Contents

⊕ **new document** or drag files here

All Documents •••   [Find a file   🔍]

	Name		Description	Modified	Modified By
📁	2018 Resource Manual by principle	•••	Provides an individual pdf document for each SACSCOC standard, extracted from the 2018 Resource Manual	November 4, 2020	☐ Tim Metz
📁	Guidelines and Interpretations for Specific Standards	•••		December 11, 2020	☐ Tim Metz
📁	Substantive change resources	•••		December 8, 2020	☐ Tim Metz
📄	2018 Principles of Accreditation	•••	Provides a list and description of current SACSCOC accreditation standards	January 16, 2020	☐ Tim Metz
📄	2018 Principles Crosswalk	•••	Provides a crosswalk of new 2018 standards to previous 2012 standards	January 16, 2020	☐ Tim Metz
📄	2018 Resource Manual	•••	Provides detailed information to assist institutions with maintaining compliance with each accreditation standard	January 16, 2020	☐ Tim Metz
📄	Handbook for Institutions Seeking Reaffirmation	•••	Provides detailed information on the requirements for decennial and fifth year reporting	November 5, 2020	☐ Tim Metz
📄	Fifth Year Interim Report Process	•••	Provides information on fifth year reporting	November 5, 2020	☐ Tim Metz
📄	2020 Handbook For Review Committees	•••	Provides guidance for evaluation of standards; intended for individuals serving on accreditation review committees	December 11, 2020	☐ Tim Metz

COLLECTING AND STORING EVIDENCE

DESIGN WITH THE END IN MIND: REPORT WRITING

DESIGN WITH THE END IN MIND: REPORT WRITING

2023 Fifth Year Report and Compliance Artifacts

⊕ **new document** or drag files here

| Writers Assigned	Reviewers Assigned	Status		Name		Citation Reference	Modified	Modified By	Checked Out To	Check In Comment
◢ **Principle. : 5.4** (49)										
◢ Category : 1) Narrative (1)										
Cory Causby	Mike Byers; Linda Davis	2nd Review Complete	📄	Current draft report for Principle 5.4	...		September 20	☐ Cory Causby	☐ Cory Causby	
▷ Category : 2) Artifact (48)										
◢ **Principle. : 6.1** (20)										
▷ Category : 1) Narrative (2)										
▷ Category : 2) Artifact (18)										

MANAGING ARTIFACTS

Some training required to assist coordinators with SharePoint functions:

- Step-by-step guidelines

- Recorded video demonstrations
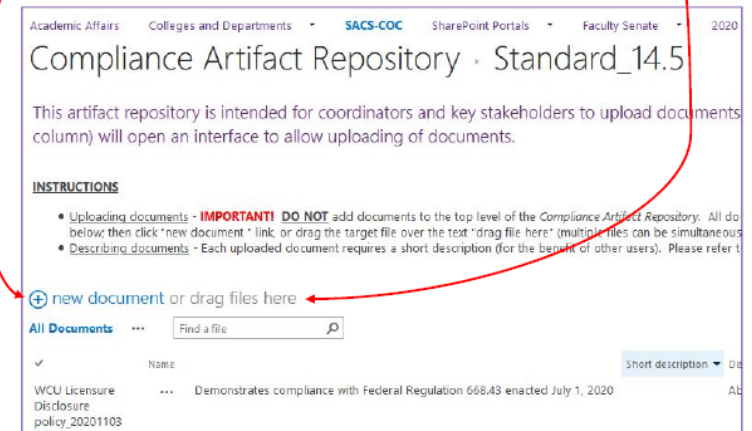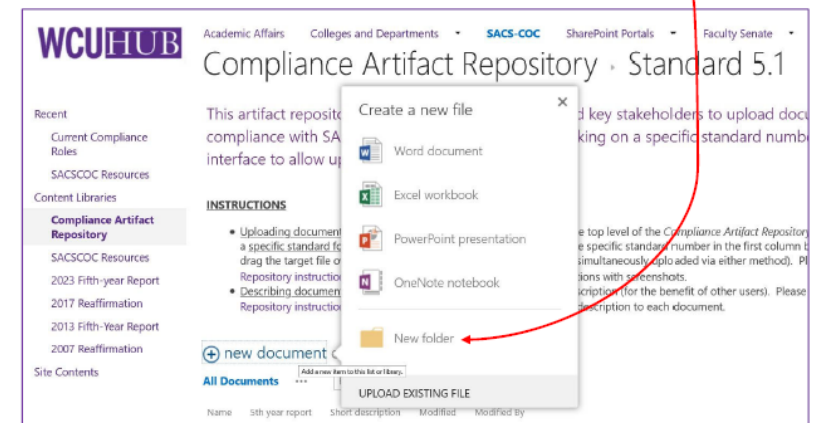
COMPLIANCE AUDIT TIMING: Why Summer?

THE AUDIT PLAN

~One month "heads up" given to coordinators, followed by a coordinator meeting one week prior to formal audit start date

WCU COMPLIANCE READINESS AUDIT

SUMMARY

Evaluate SACSCOC compliance reporting readiness for the twenty-one principles subject to 5th year review (2023). The audit will consist of a readiness survey sent to principle coordinators, and a review of compiled documentation of compliance. The audit report will indicate level of preparedness utilizing a stop-light style indicator (green = good; yellow = caution; red = warning).

AUDIT TIMELINE

Date	Action	Notes
May 3, 2021	Audit announcement	Email to principle coordinators and audit reviewers
May 24, 2021	Audit orientation meeting	Principle coordinators; audit review team members
June 1, 2021	Coordinator review begins	
July 12, 2021	Distribute coordinator survey	
July 19, 2021	Coordinator review deadline	Close coordinator survey
July 26, 2021	Auditor review begins	
August 16, 2021	Auditor review deadline	
September 1, 2021	Audit report distribution	To Accountable Executives and Coordinators

COMPLIANCE READINESS RUBRIC

SACSCOC 5TH YEAR REPORT

Compliance Readiness Audit Evaluator Rubric

Directions

Evaluate each category by indicating level of completeness

CATEGORY	Not addressed	Incomplete/emergent	Partially complete	Complete
Quality of evidence	Evidence absent; could not be evaluated	Available evidence is related to the principle, but does not clearly address requirements/expectations.	Evidence varies in clarity and relevance to the requirements of the principle.	All evidence clearly addresses requirements/expectations of the principle.
Scope of evidence	Evidence absent; could not be evaluated	Evidence is lacking for one or more principle requirements, <u>and</u> is insufficient in breadth or depth for one or more principle requirements.	Evidence is lacking for one or more principle requirements, <u>or</u> is insufficient in breadth or depth for one or more principle requirements.	▪ Evidence addresses all components/requirements of associated principle. ▪ <u>Sufficient</u> evidence in breadth and depth is available for each principle requirement.
Evidence management	Evidence absent; could not be evaluated	Available evidence lacks clear and logical organization and naming.	Evidence is lacking clear organization, <u>or</u> accurate, consistent, or logical document naming.	▪ Evidence is well-organized and categorized by the specific requirements of the principle. ▪ Document names accurately represent content. ▪ Document naming is consistent and logical.

SELF-EVALUATION

Coordinator survey serves as a project deadline reminder one week out

WCU COMPLIANCE READINESS AUDIT

SUMMARY

Evaluate SACSCOC compliance reporting readiness for the twenty-one principles subject to 5th year review (2023). The audit will consist of a readiness survey sent to principle coordinators, and a review of compiled documentation of compliance. The audit report will indicate level of preparedness utilizing a stop-light style indicator (green = good; yellow = caution; red = warning).

AUDIT TIMELINE

Date	Action	Notes
May 3, 2021	Audit announcement	Email to principle coordinators and audit reviewers
May 24, 2021	Audit orientation meeting	Principle coordinators; audit review team members
June 1, 2021	Coordinator review begins	
July 12, 2021	Distribute coordinator survey	
July 19, 2021	Coordinator review deadline	Close coordinator survey
July 26, 2021	Auditor review begins	
August 16, 2021	Auditor review deadline	
September 1, 2021	Audit report distribution	To Accountable Executives and Coordinators

COORDINATOR STATUS SURVEY

Western Carolina UNIVERSITY

This survey is intended as a preliminary evaluation of compliance status for **SACSCOC Principle** and is intended to be completed by the principle coordinator for the principle. If you are not the coordinator for this principle, please contact Tim Metz, SACSCOC Liaison for clarification.

Rate the level of understanding for the reporting requirements of your assigned principle

○ Strong understanding (full and confident understanding of requirements)

○ General understanding (understanding with some uncertainty; a few questions)

○ Little understanding (unclear on what is required for compliance)

Indicate the status for communication of reporting requirements to key stakeholders/contributors

○ Completed (all stakeholders/contributors have been fully informed of all reporting requirements and their roles in providing documentation), or no stakeholders are assigned to this principle

○ In progress (not all stakeholders/contributors have been informed of their roles and reporting requirements)

○ Not yet started

Indicate the status for availability and evaluation of required documentation related to the assigned principle

○ Fully completed (all required documentation is available, and has been reviewed for relevance and quality)

○ Mostly completed (most of the required documentation is available and some/all of it has been reviewed)

○ Incomplete (limited documentation is available and/or has been reviewed)

○ Not started

COORDINATOR STATUS SURVEY

Indicate the status of documentation management related to the assigned principle

○ Fully completed (all required documents are uploaded to, and organized on the SACSCOC SharePoint site)

○ Mostly completed (the majority of documents are uploaded and organized on the SACSCOC SharePoint site)

○ Incomplete (the majority of documents are NOT yet uploaded and organized on the SACSCOC SharePoint site)

○ Not yet started (no supporting documents have been uploaded to the SACSCOC SharePoint site)

(Optional) Please share any comments you may have pertaining to your response to the previous question (status of documentation management)

Overall status for the assigned principle, relative to initiation of 5th year compliance report writing

○ Fully prepared for narrative composition (all, or nearly all documentation is available, uploaded to, and organized on SharePoint, and has been reviewed for relevancy and quality)

○ Mostly prepared (the majority of required documentation is in place, but not yet completed)

○ Somewhat prepared (some of the required documentation is available, but much work remains to be completed)

○ Unprepared (very little documentation is currently available and compiled)

(Optional) Please share any comments you may have pertaining to your response to the previous question (overall status for the assigned principle)

Are there any known or potential non-compliance issues you discovered during this process?

○ Yes

○ No

○ Maybe

○ Don't know

ARTIFACT REVIEW

PRO TIP:

Build in extra time for late submissions!

WCU COMPLIANCE READINESS AUDIT

SUMMARY

Evaluate SACSCOC compliance reporting readiness for the twenty-one principles subject to 5th year review (2023). The audit will consist of a readiness survey sent to principle coordinators, and a review of compiled documentation of compliance. The audit report will indicate level of preparedness utilizing a stop-light style indicator (green = good; yellow = caution; red = warning).

AUDIT TIMELINE

Date	Action	Notes
May 3, 2021	Audit announcement	Email to principle coordinators and audit reviewers
May 24, 2021	Audit orientation meeting	Principle coordinators; audit review team members
June 1, 2021	Coordinator review begins	
July 12, 2021	Distribute coordinator survey	
July 19, 2021	Coordinator review deadline	Close coordinator survey
July 26, 2021	Auditor review begins	
August 16, 2021	Auditor review deadline	
September 1, 2021	Audit report distribution	To Accountable Executives and Coordinators

AUDITOR (REVIEWER) SURVEY

REVIEWER EVALUATION & FEEDBACK

REVIEWER FEEDBACK

SACSCOC PRINCIPLE: **10.7 (Policies for awarding credit)**

Accountable Executive: Brandon Schwab
Principle Coordinator: Larry Hammer
Principle Auditor: Lori Anderson

Category	Rating	Rating feedback	Other feedback
Quality of evidence	Good (3)	Evidence listed from the catalog is good. One thing that is missing is the graduate course aspect of things. The evidence provided is heavy on the undergraduate aspect.	Recommend including evidence from the graduate catalog as well.
Scope of evidence	Good (3)	Evidence is primarily focused on undergraduate. Distance learning credit is a definite aspect that needs to be included along with credit policies for distance learning courses. Would recommend 2-3 examples of experiential learning credit be highlighted and not just one (i.e., EMC). Also recommend documentation of approval processes (committee overview, roster, and minutes) from various area be included as evidence.	Recommend including graduate focus as part of the evidence.
Evidence management	Exemplary (4)	The listing of support evidence is very organized and detailed- definitely can tell the direction that this is going.	Just need to add a few things- well on your way to addressing the standard.

Average rating   ● 3.3

General feedback

SACSCOC PRINCIPLE: **10.9 (Cooperative academic arrangements)**

Accountable Executive: Brandon Schwab
Principle Coordinator: Larry Hammer
Principle Auditor: Lori Anderson

Category	Rating	Rating feedback	Other feedback
Quality of evidence	Developing (2)	Unclear to determine from the listing of evidence whether WCU has any current cooperative academic agreements. Unclear if the Wilderness First Responders has a cooperative academic agreement- if so, then this standard will apply and needs to be addressed to include pertinent evidence (i.e., agreement, procedure and timeline for review and renewal, and redacted transcripts, etc).	From review of previous (2017) documents, looks as though WCU received a recommendation for standard 3.4.7 based on the Jamaica partnership. I would highly recommend that as this standard is finalized that the author of the narrative work with the SACS liaison before listing any programs for this standard as it may not apply.
Scope of evidence	Developing (2)	See comments for "Quality of Evidence".	See comments for "Quality of Evidence".
Evidence management	Developing (2)	See comments for "Quality of Evidence".	See comments for "Quality of Evidence".
Average rating	⚠ **2.0**		

General feedback

Highly recommend that this standard be looked at carefully on whether the institution has any cooperative academic agreements. Appeared to be an issue on the previous reaffirmation cycle with standard 3.4.7. Any program listed would be what is in the current cycle when the report is submitted so listing of programs that have ended is not necessary only programs that are active is needed. Any courses taught by WCU or anything that is transfer credit does not apply as listed on the evidence submitted.

SACSCOC PRINCIPLE: **13.7 (Physical resources)**

Accountable Executive: Mike Byers
Principle Coordinator: Joe Walker
Principle Auditor: Melissa Wargo

Category	Rating	Rating feedback	Other feedback
Quality of evidence	Beginning (1)	No evidence presented	
Scope of evidence	Beginning (1)	No evidence presented	
Evidence management	Beginning (1)	No evidence presented	
Average rating	◆ **1.0**		

General feedback
No documents, evidence, or summary provided

# SACSCOC COMPLIANCE READINESS AUDIT

SACSCOC Principle	Quality of evidence	Scope of evidence	Evidence management		Mean score
12.4 (Student complaints)	Exemplary (4)	Exemplary (4)	Exemplary (4)	●	4.0
13.6 (Federal and state responsibilities)	Exemplary (4)	Exemplary (4)	Exemplary (4)	●	4.0
10.2 (Public information)	Exemplary (4)	Exemplary (4)	Good (3)	●	3.7
10.3 (Archived information)	Exemplary (4)	Exemplary (4)	Good (3)	●	3.7
5.4 (Qualified administrative/academic officers)	Exemplary (4)	Good (3)	Exemplary (4)	●	3.7
6.1 (Full-time faculty)	Exemplary (4)	Exemplary (4)	Good (3)	●	3.7
8.2.a (Student outcomes: educational programs)	Good (3)	Exemplary (4)	Exemplary (4)	●	3.7
10.7 (Policies for awarding credit)	Good (3)	Good (3)	Exemplary (4)	●	3.3
14.4 (Representation to other agencies)	Good (3)	Good (3)	Exemplary (4)	●	3.3
12.1 (Student support services)	Good (3)	Good (3)	Good (3)	●	3.0
8.1 (Student achievement)	Good (3)	Good (3)	Good (3)	●	3.0
9.2 (Program length)	Good (3)	Good (3)	Good (3)	●	3.0
14.1 (Publication of accreditation status)	Good (3)	Good (3)	Developing (2)	△	2.7
10.5 (Admissions policies and practices)	Good (3)	Good (3)	Beginning (1)	△	2.3
10.9 (Cooperative academic arrangements)	Developing (2)	Developing (2)	Developing (2)	△	2.0
13.8 (Institutional environment)	Developing (2)	Developing (2)	Developing (2)	△	2.0
14.3 (Comprehensive institutional reviews)	Developing (2)	Developing (2)	Beginning (1)	◆	1.7
10.6 (Distance and correspondence education)	Beginning (1)	Beginning (1)	Beginning (1)	◆	1.0
13.7 (Physical resources)	Beginning (1)	Beginning (1)	Beginning (1)	◆	1.0
6.2.b (Program faculty)	Beginning (1)	Beginning (1)	Beginning (1)	◆	1.0
9.1 (Program content)	Beginning (1)	Beginning (1)	Beginning (1)	◆	1.0

Legend

● Evidence is in good or very good shape
△ Evidence is ok; needs additional work
◆ Evidence is lacking; needs significant work

RESPONDING TO THE COMPLIANCE AUDIT
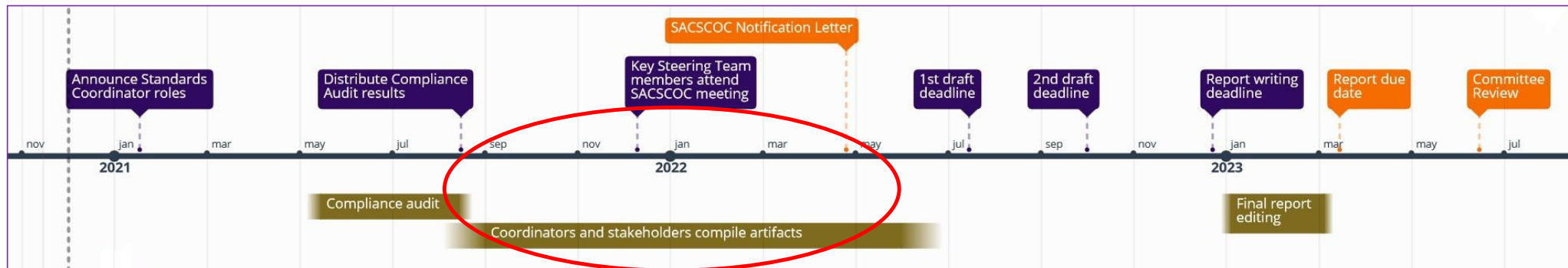
AUDIT OUTCOMES

- Early start on evidence collection

- Early identification of evidence gaps

- Early identification of potential compliance issues

- Compliance report stakeholders identified and "trained"

- Stakeholder familiarity with compliance report working environment

LESSONS & CHALLENGES

- Software functionality across platforms and browsers

- "Clean" PDF document production can be tricky with some sources

- Step-by-step written/visual instructions do not work for everyone

- An institutional priority is not necessarily an individual's priority

ACKNOWLEDGEMENTS

SharePoint site design:

Paige Herman

Business & Technology Applications Specialist

Coordinator "beta-tester":

Shane Stovall

Director, Emergency Services

Audit Reviewers:

Melissa Wargo
Chief of Staff

Carol Burton
Vice Provost

Lori Anderson
Dean, College of Health & Human Services

Amy Strickland
Director of Assessment

VISIT US! | OIPE.wcu.edu

Contact information:
tdmetz@wcu.edu