**Substantive Change Request Form**

*Effective* *Date: July 1, 2023*

**Experimental Sites Initiatives (ESI) as Required by the United States Department of Education (USDE)**

**Tier III**

The United States Department of Education (USDE) has invited a limited number of institutions to participate in various ESI intended to encourage institutional innovation. USDE manages the process of inviting and accepting institutions to participate in a particular initiative which are described at <https://experimentalsites.ed.gov/exp/index.html>. USDE may require that institutions obtain approval from the accrediting agency before they may participate.

Institutions interested in the Revised Second Change Pell Experimental Sites Initiative (SCP ESI) should use form 10b-Additional Location – Revised Second Chance Pell Experimental Sites Initiative. *The Second Chance Pell Experimental Sites Initiative is for incarcerated individuals who wish to continue their education through prison education programs. The Commission is following guidance the USDE issued on April 18, 2023 for the revised experiment:* [*https://fsapartners.ed.gov/knowledge-center/library/electronic-announcements/2023-04-18/invitation-participate-revised-second-chance-pell-experiment-under-experimental-sites-initiative*](https://fsapartners.ed.gov/knowledge-center/library/electronic-announcements/2023-04-18/invitation-participate-revised-second-chance-pell-experiment-under-experimental-sites-initiative)*. The revised experiment will allow participating institutions to continue offering their current programs to confined or incarcerated individuals for up to 3 award years while they work through the application and approval process for the PEP(s) they wish to offer under the new regulatory provisions.*

 **Review and Organize**

* Read the [Substantive Change Policy](https://www.msche.org/policies-guidelines/?title-search=substantive+change&type=), [Substantive Change Procedures](https://www.msche.org/policies-guidelines/?title-search=substantive+change&type=), [Substantive Change Guidelines](https://www.msche.org/policies-guidelines/?title-search=substantive+change&type=) before completing the request form. This request form aligns with the Substantive Change Procedures effective July 1, 2023.
* Organize analysis and evidence sufficient for review. Several questions on this form contain "examples of evidence." All of the examples are not required.
* Supply evidence that directly relates to the proposed change and provides sufficient information for the peer review process.

**Complete**

* Answer all questions with concise and detailed information.
* The substantive change **request form, including attachments, should not exceed 100 pages**. Do not include attachments that have not been referred to in the request. **Submissions exceeding 100 pages will be returned to the institution for editing and must be resubmitted.**
* All attachments should be labeled appropriately. The form and the attachments should be combined into a **single bookmarked PDF document**.

**Submit**

* Submit the substantive change request form in the MSCHE Institution Portal. Instructions at [www.msche.org/substantive-change/](http://www.msche.org/substantive-change/).

**Date Submitted: Click or tap to enter a date.**

**Institution: Click or tap here to enter text.**

**City, State:** **Click or tap here to enter text.**

Section A: Substantive Change Request

Answer each question.

1. Provide a brief overview of the proposed substantive change request.

 **Click or tap here to enter text.**

1. **Participation in Experimental Sites Initiative (ESI)**

Has the institution been approved by the US Department of Education to participate in (ESI)?

[ ]  YES [ ]  NO If no, this form does not need to be completed.

1. **Program Description:**
2. Name of program as it appears in the institution’s catalog: Click or tap here to enter text.
3. Provide a description of the program.

**Click or tap here to enter text.**

1. Is the program an existing program that is provided by the institution or the third-party provider?

[ ]  YES [ ]  NO

If yes, institution or third-party provider? **Click or tap here to enter text.**

1. Will the institution or the third-party provider also be offering a version of the program that is not Title-IV eligible while participating in the experiment?

 [ ]  YES [ ]  NO

If yes, institution or third-party provider? **Click or tap here to enter text.**

1. Provide the following attachments:

[ ]  Curriculum and course offerings for the proposed program, including information about course sequencing (Label attachment **Curriculum**)

[ ]  Course descriptions (Label attachment **Courses**)

[ ]  Learning outcomes with expected timeline for student completion (Label attachment **Outcomes**)

1. **Timeline:** Provide a timeline of the proposed substantive change with critical milestones. Include the anticipated effective date of the change. (*Label attachment* ***Timeline***)

(***Note****: The institution will begin to prepare the request in advance so that the submission deadline is at least 3 months before the proposed change is scheduled for implementation to allow sufficient time for review. If a submission is incomplete, the schedule may be delayed.)*

1. **Third-Party Provider:**
2. Name of Third-Party Provider: **Click or tap here to enter text.**
3. Percentage of the program that will be delivered by the third-party provider.

**Click or tap here to enter text.**

1. Is the third-party provider a for-profit entity?

 [ ]  YES [ ]  NO

1. **Quality Assurance Entity:**
2. Name of Quality Assurance Entity: **Click or tap here to enter text.**
3. Is the quality assurance entity a for-profit entity?

 [ ]  YES [ ]  NO [ ]  N/A

1. **Total Student Costs.** Describe the total costs of the program to students, including all costs to students associated with working with third-party provider(s) and Quality Assurance Entities.

**Click or tap here to enter text.**

1. **Contractual Agreements with Third-Party Provider(s) and Quality Assurance Entity(ies):** Provide information about the contractual agreement with the third-party provider(s) and the Quality Assurance Entity(ies) that will participate in the program. Attach contracts with these to this request (label Attachment **Contract**). The information should include information about the nature of the services to be performed by each party, including the following:
	1. The period of time for the agreement, and the conditions under which any possible renewal, renegotiation, or termination of the contract could take place
	2. Appropriate protection for enrolled students in the event that a contract is terminated or renegotiated
	3. The procedures for grievances regarding any aspect of offerings appropriated
	4. Avenues for addressing perceived breaches of the contract
	5. Provisions which explicitly define:
* the institution’s awarding of credit
* educational courses, programs, and services included in the contract
* how outcomes assessment will be conducted and how the contracting entities will periodically review the courses and programs
* how student support services necessary to complete courses/programs will be assured
* how student access to learning resources in support of requisite courses/programs will be assured
* compensation and other considerations for the services provided by each of the parties, including for marketing, advertising, and recruiting students.

Section B: Compliance with the Commission’s Standards for Accreditation, Requirements of Affiliation, Policies and Procedures, and Applicable Federal Regulatory Requirements

The Commission will only include a substantive change within the institution’s scope of accreditation if the change does not adversely affect the institution's compliance with the Commission's standards for accreditation, requirements of affiliation, policies and procedures, and applicable federal regulatory requirements.

1. **Resources (Standard VI):** Provide an analytical narrative concerning how institutional resources necessary to administer the program are available and accessible to ensure program stability and overall quality, including analysis and discussion of the institution’s capacity to administer the program and monitor the role of the third-party provider in delivering program content and services.

**Click or tap here to enter text.**

1. **Quality and Rigor (Standard III):** Provide the following information to demonstrate how the program's overall educational quality and rigor are assured:
	1. A list of clearly articulated statements of expected program-level student learning outcomes and how they are aligned with required courses and other learning activities that enrolled students are required to complete to achieve the outcomes.

**Click or tap here to enter text.**

* 1. A description of how the student work completed in the program will be regularly and systematically monitored by qualified faculty and/or appropriately qualified professionals to ensure that student work is appropriately rigorous and valid.

**Click or tap here to enter text.**

* 1. A description of how programmatic student learning outcomes will be regularly assessed, including:
1. Explanation(s) of how the institution will ensure the dissemination and discussion of programmatic student learning assessments results by faculty and/or appropriately qualified professionals, and other relevant stakeholders.

**Click or tap here to enter text.**

1. Explanation(s) of how this program’s assessment process will be used for documenting success and/or improving student learning and curriculum.

**Click or tap here to enter text.**

1. Explanation(s) of how the program’s assessment results will be used to support academic planning.

**Click or tap here to enter text.**

1. Explanation(s) of how the institution will periodically evaluate the overall assessment process of the program.

**Click or tap here to enter text.**

1. An analysis of how students’ achievement of programmatic student learning outcomes is comparable to those in traditional program formats.

**Click or tap here to enter text.**

1. Explanation of how institutional policies, procedures, and evaluation approaches are used to ensure that the program is rigorous and reflect standards consonant with higher education expectations and, where applicable, the expectations of employers and other institutional and higher education stakeholders.

**Click or tap here to enter text.**

1. **General Approach to EQUIP**. Describe how the EQUIP program will be administered, including the following:
2. A description and analysis of how the program will be formally managed to ensure appropriate progression of students through the program and how the institution will work with the third-party provider(s) to ensure appropriate student progress.

**Click or tap here to enter text.**

1. In cases where program content is delivered on-line, describe how the institution and third-party provider(s) will ensure that student work is effectively authenticated.

**Click or tap here to enter text.**

1. Descriptions of procedures regarding the recording of evaluated learning by the awarding institution, and how these procedures will be published and consistently implemented. The description should also contain information about how transcripts will:
	* Be kept and maintained for each student and which document student achievement.

 **Click or tap here to enter text.**

* + Be regularly updated.

 **Click or tap here to enter text.**

* + Contain information that is clear and sufficient for other institutions and employers for the purposes of transfer out of the program, enrollment in programs (e.g., graduate programs) after completion of the EQUIP program, and employment.

 **Click or tap here to enter text.**

1. **Role of Faculty or Qualified and Appropriately Prepared Professionals (Standard III)**. Provide the following:
2. Explanation and analysis of how the institution will ensure that student work in the program, especially that provided by the third-party provider(s), is regularly and systematically evaluated by qualified and appropriately prepared professionals.

**Click or tap here to enter text.**

1. Explanation and analysis of how the institution’s faculty and other qualified professionals play a meaningful and substantive role in the oversight of the program’s curriculum and its delivery, including that provided by the third-party provider.

**Click or tap here to enter text.**

1. **Student-Faculty Interaction.** Provide the following information:
	1. Explanation and analysis of how regular and substantive student-faculty interaction will be achieved in the program and how the quality of such interactions will be regularly monitored and evaluated, including:

**Click or tap here to enter text.**

* 1. How students who are struggling or who might otherwise wish to interact with faculty and/or instructional professionals will be able to do so.

**Click or tap here to enter text.**

* 1. How the program is designed so that regular and substantive interaction between students and qualified faculty and/or appropriately qualified professionals occurs with predictable regularity and which ensures that such interactions focus on the academic subject matter in which students are engaged.

**Click or tap here to enter text.**

* 1. How the institution will evaluate the quality of interactions between students and instructional professionals regardless of content delivery method or modality to ensure the effectiveness of student learning.

**Click or tap here to enter text.**

1. **Institutional Student Learning Outcomes and Student Achievement (Standard V).** Provide an explanation and analysis of:
2. How the institution’s institutional learning outcomes (e.g., general education, graduate outcomes across the curriculum, etc.) will be part of the overall program and how the institution ensures that such outcomes will be achieved by students in the program.

**Click or tap here to enter text.**

1. Consistent with the mission, how the institution will measure and evaluate measures of student success, including student retention, completion, and success after completion, and how such information will be monitored, considered, and acted upon to ensure overall program effectiveness.

**Click or tap here to enter text.**

1. **Student Advisement and Services (Standard IV).** Describe how the institution and third-party provider will assist students in following ways:
2. Gaining the knowledge needed to progress through the program and how the institution will ensure the following:
	1. Accessing student support services that are reasonably necessary to enable each student to achieve program and institutional learning goals.

**Click or tap here to enter text.**

* 1. Identifying students who are not fully prepared for college level study or are having difficulty working within a direct assessment modality and procedures that are in place for referral to relevant courses and support services for such students.

**Click or tap here to enter text.**

* 1. Applying systematic procedures that identify students who are not fully prepared for college level study and procedures that are in place for referral to relevant courses and support services for these students.

**Click or tap here to enter text.**

* 1. Assisting students who drop out of the program, so they might complete comparable programs of study or might otherwise be advised to complete their education.

**Click or tap here to enter text.**

* 1. Enabling students’ access to learning resources comparable to those offered in traditional programs.

**Click or tap here to enter text.**

* 1. Regularly evaluating the extent to which the institution supports its students toward the achievement of learning competencies and program completion, with reference to the points above.

**Click or tap here to enter text.**

1. **Ethics and Integrity (Standard II):** Provide information about how the institution does the following:
2. Adheres to the institution’s own policies and to overall ethical standards, including accurate and comprehensive information regarding financial aid, all tuition and fees, all other costs associated with the program, scholarships, loans, refunds, program length, curriculum, and expected student learning outcomes.

**Click or tap here to enter text.**

1. Publishes and implements policies and procedures regarding transfer credit, prior learning assessments, and credit for extra-institutional college level learning that state the criteria established by the institution regarding transfer credit.

**Click or tap here to enter text.**

1. Ensures that institution-wide policies will be consistently applied to this program, including policies related to transfer of credit into or out of the program.

**Click or tap here to enter text.**

1. Policies and processes relating to the Commission’s Public Disclosures Policy and Procedures, including but not limited to procedures in place to ensure that:
* Statements and representations about the program, including in marketing and advertising materials, are clear, factually accurate, and current.

**Click or tap here to enter text.**

* Information about the program, including (where applicable) required disclosures about career placement and other measures of student achievement, are accurate and regularly updated.

**Click or tap here to enter text.**

* 1. Independent agents or contractors or agents used by the institution or, if applicable, by the third-party provider, are governed by the same principles as institutional admissions officers and volunteers.

**Click or tap here to enter text.**

* 1. Avoidance of conflicts of interest among the third-party provider(s), the Quality Assurance Entity and the institution and how the activities, evaluations, and assessments of the Quality Assurance Entity are sufficiently independent to inform overall quality and the processes the institution will use to consider such information and use it to improve student learning, teaching, and curriculum.

**Click or tap here to enter text.**

1. **Related Entities (Standard VII)**. If this substantive change involves a related entity as defined in the Commission’s *Related Entities Policy and Procedures*, please answer the following questions:
2. Describe the institution’s relationship with the related entit(ies) and the entity’s role in the substantive change, particularly in the delivery of any educational program.

**Click or tap here to enter text.**

1. The Commission staff may request that the institution provide the *Related Entities Required Disclosures and Certification Statement* for certain types of substantive changes. Provide the certification statement only upon request.
2. **Title IV Certification**. If the institution participates in Title IV student financial aid programs with the United States Department of Education (USDE), please answer the following questions:
	1. Will the institution apply for certification to participate in Title IV programs or submit a change to the E-App related to this substantive change?

**Click or tap here to enter text.**

* 1. Attach the institution’s current Eligibility and Certification Approval Report (ECAR).

 *The institution must also submit an updated E-CAR to the Commission documenting the USDE approval of the change as soon as it is available. Email the document to* *substantivechange@msche.org**.*

1. Please provide, very briefly, any additional information that may be helpful to the Commission regarding this substantive change.

**Click or tap here to enter text.**

**Section C: Institutional Standing with Accrediting Agencies**

Complete the following table.

|  |  |  |
| --- | --- | --- |
| Institutional Standing Question | Accrediting Agency Status | If **YES**, please indicate: * Name of the agency
* Due date of the next report
* Attach a copy of the most recent related action letter
 |
| Is the institution currently in non-compliance status (e.g., warning, probation, show-cause) or subject to any adverse action with the Commission? | [ ]  NO [ ]  YES |  |
| Has any other accrediting agency asked for follow-up reporting from the institution, including any of its branch campuses, additional locations, or other sites within the last two full academic years, including the current year? | [ ]  NO [ ]  YES |  |
| Is the institution being monitored or reviewed by any federal agency, including the United States Department of Education, or any state agency for any reason (including but not limited to Title IV program responsibilities, heightened cash monitoring), including any of its branch campuses, additional locations, or other sites within the last two full academic years, including current year? | [ ]  NO [ ]  YES |  |

**Section D: Required Approvals for the Substantive Change**

List and **provide written documentation** of all required internal and external approvals required for the proposed substantive change.  The institution must provide written documentation from the entity or agency to demonstrate if no approval is required (e.g. correspondence, regulation, statute). The institution must provide written documentation of all required approvals to the Commission as soon as they are received.  (***Label attachments Board-Approval, State-Agency-Approval, Federal Agency-Approval, etc****.)*

|  |  |  |  |
| --- | --- | --- | --- |
| Type of Approvals  | Name of Agency | Obtained?  | Date Received/Date Expected*If not required, provide documentation* |
| Institutional  (*administration, faculty, committees, governing body*) |  | \*NO [ ]  YES  |   |
| System   |  | [ ]  NO [ ]  YES [ ]  N/A |   |
| State |  | [ ]  NO [ ]  YES  |   |
| Federal *(including USDE and any Title IV implications)* |  | [ ]  NO [ ]  YES  |  |
| International |  | [ ]  NO [ ]  YES [ ]  N/A |  |
| Other Legal, Contractual, or Other Required   |  | [ ]  NO [ ]  YES [ ]  N/A |   |

*\* The institution must provide, at a minimum, written documentation of all required institutional approvals with the submission of this form.*

**Section E: Checklist and Certifications**

By signing and submitting this *Substantive Change Request Form*, the individual below certifies that:

* The *Substantive Change Policy* *and* *Procedures* have been reviewed.
* The information included in the substantive change request form is accurate at the time of submission.
* The institution will notify the Commission of subsequent, significant developments that could affect the Commission's decision.
* The substantive change request form has been completed in its entirety and attachments are appropriately labeled to facilitate the review.
* The appropriate individuals at the institution have authorized the submission of this request for review by the Commission.
* The institution understands it must take into consideration applicable State laws, the Family Educational Rights and Privacy Act (FERPA) and other privacy laws. The institution may redact personal or sensitive information in accordance with these laws, for submission to the Commission.
* The institution understands that prior approval of all substantive changes before implementation is required by the Commission.
* The institution understands that retroactive approval will not be included within the scope of the institution's accreditation status.
* The institution understands it should not advertise or market the substantive change before the request is submitted.
* The substantive change request does not adversely affect the institution's compliance with the Commission's standards for accreditation, requirements of affiliation, policies and procedures, and applicable federal regulatory requirements.
* The institution understands that the Commission reserves the right to reject incomplete requests or requests that exceed 100 pages.
* The institution understands that it must provide immediate notification of any outstanding information (e.g., a site visit, evidence of appropriate approvals, etc.). The institution's responsibility is to ensure all conditions have been met and that the Commission has received all necessary documentation.
* The institution understands that the Commission may take action in accordance with its *Accreditation Actions Policy and Procedures*.

**The Substantive Change Request Form must be submitted by the institution's Accreditation Liaison Officer (ALO)**

Provide Name, Title, Email, and Phone Number of (ALO) submitting this request:

|  |
| --- |
| Name: **Click or tap here to enter text.**Title: **Click or tap here to enter text.**Email: **Click or tap here to enter text.** Phone Number: **Click or tap here to enter text.** |

*Please sign by typing the name of the Accreditation Liaison Officer (ALO) or including an electronic signature of the ALO in the space provided:*

Signature of ALO: **Click or tap here to enter text.**

*Version: 2023-07-01 EFFECTIVE*