Compliance Components – Research

Separate compliance components that constitute discrete issues to be addressed in developing a convincing argument for compliance in the Compliance Certification are underlined for each applicable requirement and standard. A narrative that addresses and documents some, but not all, of the compliance components is incomplete.

> **Suggestions**: The "suggestions" provided below are guides to developing and documenting a narration that thoroughly addresses these compliance components.

> **Excerpts citing noncompliance:** The "excerpts" are provided to assist Applicants and Candidates in identifying typical shortcomings in the narratives and documentation presented in support of an institution's assertion of compliance; taken from reports developed by SACSCOC review committees, these excerpts are all part of some committee's explanation of its finding of noncompliance.

Comprehensive Standards:
3.2 Governance and Administration

3.2.14 The institution's policies are clear concerning ownership of materials, compensation, copyright issues, and the use of revenue derived from the creation and production of all intellectual property. These policies apply to students, faculty, and staff. **(Intellectual property rights)**

> *For all standards that require a policy, institutions must document publication of the policy in appropriate institutional documents.*

> *Excerpt citing noncompliance: "The Compliance Certification does not address how the policy is disseminated to students."*

3.3 Institutional Effectiveness

3.3.1 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 **(Institutional Effectiveness)**:

> *Suggestion:* *Cross-reference the narrative and documentation developed for CR 2.5 as appropriate. Note, however, that CR 2.5 refers to planning and evaluation for the over-all institution, while CS 3.1.1 refers to educational programs and other units at the institution.*

3.3.1.2 administrative support services

> *Suggestion:* *Create meaningful goals/objectives, not simple "to do" lists.*

> *Excerpt citing noncompliance: "Because the reviewed administrative support units did not list outcomes or intended effects of the activities facilitated by the units, it was not possible to confirm that the institution identifies expected outcomes for its administrative support units or assesses the extent to which it achieves expected outcomes."*

3.3.1.4 research within its educational mission, if appropriate

Excerpt citing noncompliance: *"Both research units identified three objectives, which are essentially unit activities. Expected outcomes (benefits for campus constituencies) are not identified."*

3.10   Financial Resources

3.10.5 The institution maintains financial control over externally funded or sponsored research and programs. **(Control of sponsored research/external funds)**

Excerpt citing noncompliance: *"The Business Office uses the same internal controls and accounting processes to account and report activity for externally funded or sponsored programs. The Standard Review Report issued in 2010 indicated that for the fourth consecutive year the institution did not maintain adequate internal control over student and federal receivables."*