

## Compliance Components – UFF

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

- 3.2.12 The institution’s chief executive officer controls the institution’s fund-raising activities exclusive of institution-related foundations that are independent and separately incorporated. (**Fund-raising activities**)

*Excerpt citing noncompliance: “According to the “Solicitation Policy,” all solicitations for money or other gifts for the institution require the prior approval of both the President of the institution and the Executive Director of the Foundation for Excellence in Education. In addition, the President of the College and the Vice President of Institutional Advancement must approve all solicitation materials in association with the Executive Director. The President’s control in both of those instances is shared with Foundation for Excellence in Education, effectively giving the foundation a veto power that could limit the President’s authority.”*