



COMPLIANCE CERTIFICATION

(Updated May 2016 to replace policy wording in CS 3.13.2 and 3.13.4a)

Name of Institution: University of Louisville

Date of Submission: September 12, 2016

In order to be accredited by the Commission on Colleges, an institution is required to conduct a comprehensive compliance audit prior to the filing of the Compliance Certification. The comprehensive compliance audit includes an assessment of all programs and courses offered by the institution on-campus and off-campus, and those offered through distance learning. The Compliance Certification, signed by the institution's chief executive officer and accreditation liaison, attests to the institution's honest assessment of compliance with the accreditation requirements of the Commission on Colleges (including Core Requirements, Comprehensive Standards, and Federal Requirements) as applied to all aspects of the institution.

Completion of the Compliance Certification

The Compliance Certification consists of four parts:

- Part 1** Signature Page for the institution's chief executive officer and the accreditation liaison
- Part 2** List of all substantive changes that have been reported and approved by the Commission since the institution's last reaffirmation as well as the date of approval
- Part 3** The institution's assessment of compliance with the *Principles of Accreditation*
- Part 4** An attached and updated "Institutional Summary Form Prepared for Commission Reviews" that (a) lists all locations where coursework toward a degree, certificate, or diploma can be obtained primarily through traditional classroom instruction and (b) describes distance education credit offerings that can be obtained primarily through electronic means.

For each Part, please follow the directions provided. For Part 2 above, if there have been no institutional changes that required reporting or approval since the institution's last comprehensive review, please indicate it as well.

Part 1. SIGNATURES ATTESTING TO COMPLIANCE

By signing below, we attest to the following:

1. That University of Louisville has conducted an honest assessment of compliance and has provided complete and accurate disclosure of timely information regarding compliance with the Core Requirements, Comprehensive Standards, and Federal Requirements of the Commission on Colleges.
2. That University of Louisville has attached a complete and accurate listing of all programs offered by the institution, the locations where they are offered, and the means by which they are offered as indicated on the updated "Institutional Summary Form Prepared for Commission Reviews," and that the comprehensive assessment of compliance reported on the Compliance Certification includes the review of all such programs.
3. That University of Louisville has provided a complete and accurate listing of all substantive changes that have been reported and approved by the Commission since the institution's last reaffirmation as well as the date of Commission approval.

Accreditation Liaison

Name of Accreditation Liaison: **Connie C. Shumake**

Signature Connie C. Shumake

Date 9/5/2016

Chief Executive Officer

Name of Chief Executive Officer: **Neville G. Pinto**

Signature Neville G. Pinto

Date 9/5/2016

**Part 2. LIST OF SUBSTANTIVE CHANGES APPROVED
SINCE THE LAST REAFFIRMATION**

SACS APPROVED SUBSTANTIVE CHANGES
(Since the 2007 SACS reaffirmation)

Approval Year	Program	Description of Substantive Change/ Date of Notification	Unit/Follow-up
2007	Ed.D in Educational Leadership and Organization (will begin in Fall 2007)	Reinstitute Ed.D option Report to SACS 2.19.07	College of Education/ Approved By SACS 5.14.07
2007	Bachelor's in Social Work Program	New program (will begin in Fall 2007) Report to SACS 4.18.07	School of Social Work Approved By SACS 5.14.07-
2007	MS in Computer Science	On-line Report to SACS 6.19.07	Speed Engineering/ Approved By SACS 7.19.07
2007	MS in Civil Engineering	On-line Report to SACS 6.19.07	Speed Engineering/ Approved By SACS 7.19.07
2008	MA in Anthropology	Expansion of the Anthropology Program	A&S/ Approved By SACS 11.4.08
2008	BA in Atmospheric Sciences	New degree program offered by Dept. of Physics & Astronomy	A&S/ Approved By SACS 11.4.08
2008	PhD in Physics & Astronomy	Expansion of current programs offered by the Department of Physics & Astronomy. Does not replace cooperative program with University of Kentucky. Letter sent 11.07.08	A&S / Approved By SACS 2.12.09
2009	BS in Workforce Development (effective Summer 2007)	Initiating a degree completion program – late report Letter sent 1.12.09	CEHD/ Approved By SACS 4.17.09
2009	BS in Nursing	Offering a distance learning program with 50% or more of the program on-line and new location – Owensboro, KY. Letter sent 1.12.09	School of Nursing/ (Required Prospectus Report) Approved By SACS 4.17.09 & 2 nd letter 6.1.2010
2009	Master of Engineering in Engineering Management, Master of Science and PhD in Industrial Engineering	Master of Engineering in Engineering Management, Master of Science and PhD in Industrial Engineering at two locations in Germany Letter sent 1.12.09	Speed Scientific School/ (Required Prospectus Report) Approved By SACS 4.17.09

Approval Year	Program	Description of Substantive Change / Date of Notification	Unit/Follow-up
2010	PhD in Applied Sociology	New Program in Applied Sociology Letter sent 8.25.09	A&S/ Approved By SACS 1.5.2010
2010	Two General Education pilot courses	Two General Education pilot courses with Simmons College Letter sent 8.27.10	Simmons College/ Notification confirmed by SACS 11.16.10
2010	MBA Program	MBA offered at Aventis School of Management (Asia) Singapore Reported 4.30.12	College of Business/ Suspended 2012. SACS approval 8.9.12
2011	MBA Degree Program	MBA offered in Hong Kong, China Reported 4.30.12	College of Business/ Suspended 2012. SACS approval 8.9.12
2012	PhD in Justice Administration	PhD in Justice Admin. For fall 2012 is an expansion of current programs offered by the Dept. of Justice Admin. Report 12.16.11	A&S/ Approved By SACS 3.1.12
2012	PhD in Pan African Studies	PhD in PAS beginning fall 2012 is an expansion of the current program. Report 2.21.12	A&S/ Approved By SACS 7.11.12
2012	Electrical and Mechanical Engineering Programs	Expansion to 100% at the General Electric location Reported 9.7.12	Speed Engineering/ Prospectus Report Required - Approved By SACS 1.30.13
2012	MSSW online	Letter and Prospectus Report submitted 2.24.12	Kent School/ SACS approval letter received 6.14.12.
2012	Panama Programs – audit report	Letter and audit report submitted 4.2012 Three programs active – MS in HRE, MEng in Eng. Management, BA in Communication. Follow-up information submitted to SACS 11.2012.	Provost Office/ Institutional response & SACS responded 1.7.13 <i>Update only. No approval required</i>
2012	MBA	Perm State – Russia, Late report from June 2010. Letter mailed to SACS with Prospectus Report on 8.6.12.	College of Business/ SACS response letter received 11.13.12 with additional requested information needed. Perm credentials sent 12.11.12. Approved by SACS – 7.10.13

Approval Year	Program/Report	Description of Substantive Change / Date of Notification	Unit /Follow-up
2013	UofL Substantive Change Policy and Procedures	Response to SACS letter received 11.13.12. Develop policy statement. Submit by 4.15.13.	College of Business/ Institutional response to CS 3.12.1 (Late report on Perm State) Approved By SACS 7.30.13
2013	MEng in Engineering Management	On line – 100%	Speed School/ Letter sent May 2013 and SACS approved 11.11.13
2013	Executive MBA with UK	Letter of Notification sent 8.6.13	College of Business/ Approved by SACS 12.3.13
2013	EBS Dual Degree (Germany)	Prospectus Report submitted 8.7.13	College of Business/ Approved by SACS 1.9.14
2013	MOA with Wenzhou – China - UofL PhD in Pharmacology	Prospectus Report sent 12.19.13	School of Medicine/ Approved by SACS 2.17.14
2014	MOA with NUR in Lahore Pakistan	Prospectus report sent on 3.31.14, Follow-up letter 10.17.14	School of Public Health and Information Sciences/ Approved by SACS 12.17.14
2014	Referral report on CR 2.8	Follow up required for the fifth year Interim Report – 4.15.14	Accreditation Liaison/ Approved by SACS 7.9.14
2014	LCME Accreditation Action	Probationary status until Summer 2015	School of Medicine/ Report sent 3.18.14
2015	LCME Accreditation	Removal of Probation Reaffirmed until 2020-21 school year	SOM / SACS Notification Sent 11.23.15
2015	Competency-Based Education (CBE) Project	BS in OLL-Concentration in health care leadership – CBE program online Two reports submitted. SACS required a CBE application – completed 12/6/2015.	CEHD/Delphi Center SACS Approved 3.4.16
2015	ILAW Ventures – online courses	Summer school classes offered online by ILAW Ventures. Meets ABA Distance Education Rules.	Law School/ Pilot Project/ SACS approved 7.1.15

Approval Year	Program/Report	Description of Substantive Change / Date of Notification	Unit/ Follow-up
2015	Online Programs Email sent to SACS 6.11.15	Does UofL need to request permission for each new online programs? University of Louisville was approved to offer 50% or more of a program's credits online on December 5, 1997.	Answer from Dr. Sarah Armstrong at SACS dated 6.15.15 stated "Once the <u>institution</u> is approved to offer 50% or more of its first program electronically, no further notifications are needed for electronic delivery of any approved program or part of a program."
2015	Delay in MPH in Pakistan. Start date (originally Fall 2015)	Pakistan site visit delayed until after Fall 2016 MPH canceled effective 8.1.16	SPHIS/ Accreditation liaison notified SACS 12.14.15 of the delay.
2016	UofL Self-report on 2.11.16	NCAA review, State auditor examination, Investigation of senior officials	SACS requested report- due on 8.1.16. Report submitted by Acting President Pinto on 7.28.16.
2016	Audiology Accreditation status	Audiology placed on probation by CAA on 3.15.16. Letter sent to SACS on 4.28.16	School of Medicine/ Letter from SACS acknowledging notification 6.9.16.
2016	UofL Self-Report on 6.17.16	Governor's Order to dissolve the Board of Trustees.	Letter from SACS on 6.28.16 requested report on standards 2.2, 3.2.1, 3.2.4, 3.2.5, and 3.12.1 Report due on 7.29.16. Extension requested and approved by SACS to 8.15.16.
2016	UofL Response to 6.28.16 Letter from SACSCOC sent on 8.12.16	SACS requested report on standards 2.2, 3.2.1, 3.2.4, 3.2.5, and 3.12.1	Received reply from SACS on 8.18.16. Three standards are still under review: 3.2.1, 3.2.4 and 3.2.5. UofL has until 9.16.16 to respond to the 8.18 letter on standards – 3.2.1, 3.2.4 and 3.2.5. All documentation will be reviewed by the C&R Committee at the annual meeting in Dec. 2016

Approval Year	Program/Report	Description of Substantive Change / Date of Notification	Unit/ Follow-up
2016	MPH cancellation in Pakistan	SACS notified of MPH cancellation	School of Public Health and Information Sciences/ Accreditation Liaison sent letter on 8.23.16

Part 3. INSTITUTIONAL ASSESSMENT OF COMPLIANCE

Directions: For each of the Core Requirements, Comprehensive Standards, and Federal Requirements listed below, the institution should place an “X” before the judgment of compliance and then add narrative in support of its judgment in accordance with directions requested in the category description.

- ___ Compliance The institution meets the requirement and provides a convincing argument in support of its determination and provides documents or a sampling of documents (or electronic access to the documents) demonstrating compliance.

- ___ Partial Compliance The institution meets some, but not all, aspects of the requirement. For those aspects meeting the requirement, the institution provides a convincing argument in support of its determination and provides a list of documents or sampling of documents (or electronic access to the documents) demonstrating compliance. For those aspects not meeting the requirement, the institution provides the reason for checking partial compliance, a description of plans to comply, and a list of documents that will be used to demonstrate future compliance.

- ___ Non-Compliance The institution does not meet the requirement and provides the reason for checking non-compliance, a description of plans to comply, and a list of documents that will be used to demonstrate future compliance.

Note 1: *Several of the standards/requirements require that an institution provide a policy. When developing policies and procedures addressing the requirement outlined in a standard, an institution may want to refer to a best practice statement approved by the SACSCOC Board of Trustees that outlines criteria for a functional policy and procedures for implementation. The document, “Developing Policy and Procedure Documents,” can be found at <http://www.sacscoc.org/policies.asp>.*

Note 2: *All standards/requirements marked with an asterisk will be reviewed by both the Off-Site Reaffirmation Committee and the On-Site Reaffirmation Committee regardless of the judgment rendered at the time of the off-site review.*

Section 1: THE PRINCIPLE OF INTEGRITY

1.1 The institution operates with integrity in all matters. **(Integrity)**
*(This statement should **not** be addressed by the institution in its Compliance Certification. It may be addressed in the Off-Site Reaffirmation Committee Report if the review of information and documentation provided in the institution’s Certification causes evaluators to question the accuracy or candid presentation of materials.)*

Section 2: CORE REQUIREMENTS

2.1 The institution has degree-granting authority from the appropriate government agency or agencies. **(Degree-granting Authority)**

Compliance Partial Compliance Non-Compliance

Narrative:

The University of Louisville (UofL) is in compliance with Core Requirement 2.1. The university has received all relevant authorizations from the necessary government agencies or other regulators as required to offer its degree programs. Kentucky Revised Statute (KRS) 164.815 grants UofL degree-granting authority with the approval of the Kentucky Council on Postsecondary Education CPE).

2.2 The institution has a governing board of at least five members that is the legal body with specific authority over the institution. The board is an active policy-making body for the institution and is ultimately responsible for ensuring that the financial resources of the institution are adequate to provide a sound educational program. The board is not controlled by a minority of board members or by organizations or interests separate from it. Both the presiding officer of the board and a majority of other voting members of the board are free of any contractual, employment, or personal or familial financial interest in the institution **(Governing Board)**

Compliance Partial Compliance Non-Compliance

Narrative:

The University of Louisville's (UofL) Board of Trustees is the legal body of UofL with specific authority over the institution. The powers of the Board of Trustees as delineated by Kentucky Revised Statutes KRS 164.830 and *The Redbook* include: the appointment and suspension or removal of the president, faculty members, and other personnel; the receipt, retention, and administration on behalf of the university of all revenues from endowments, appropriations, grants, and bequests; and the periodic evaluation of the university's progress in implementing the university's mission, goals, and agenda.

2.3 The institution has a chief executive officer whose primary responsibility is to the institution and who is not the presiding officer of the board. *(See Commission policy "Core Requirement 2.3: Documenting an Alternate Approach.")* **(Chief Executive Officer)**

Compliance Partial Compliance Non-Compliance

Narrative:

The University of Louisville's (UofL) acting president is Neville G. Pinto. Dr. Pinto was appointed to the acting position on July 27, 2016. He was formerly the university's Interim Executive Vice President and University Provost. Dr. James R. Ramsey served as president from 2002 to July, 2016. The president is the chief administrative and educational officer of the institution. The presiding officer of UofL's Board of Trustees is the Chair. The Chair is annually elected by the board from among its members.

2.4 The institution has a clearly defined, comprehensive, and published mission statement that is specific to the institution and appropriate for higher education. The mission addresses teaching and learning and, where applicable, research and public service. **(Institutional Mission)**

Compliance Partial Compliance Non-Compliance

Narrative:

The University of Louisville (UofL) has a clearly defined, comprehensive, and published mission statement that is specific to UofL and appropriate to higher education. The university's mission addresses the areas of

teaching and learning, research, and public service. On January 14, 2016, the University's Board of Trustees approved a new mission statement for UofL. The mission statement was updated to align with the university's current goals.

- 2.5** The institution engages in ongoing, integrated, and institution-wide research-based planning and evaluation processes that (1) incorporate a systematic review of institutional mission, goals, and outcomes; (2) result in continuing improvement in institutional quality; and (3) demonstrate the institution is effectively accomplishing its mission. **(Institutional Effectiveness)**

Compliance Partial Compliance Non-Compliance

Narrative:

The University of Louisville (UofL) has a systematic, ongoing process for assessing institutional effectiveness and provides adequate institutional support for the assessment process. The university has experienced significant progress toward reaching its strategic goals and can provide evidence of a sustained history of planning evaluation cycles, including the measurement and use of results for improvement to accomplish the institution's mission and strategic goals.

- 2.6** The institution is in operation and has students enrolled in degree programs. **(Continuous Operation)**

Compliance Partial Compliance Non-Compliance

Narrative:

The University of Louisville (UofL) can demonstrate current operation and consistent student enrollment. The Commonwealth of Kentucky chartered the University of Louisville in 1798. The first classes under this charter were offered in 1837, and the university has been in continuous operation since that year.

- 2.7.1** The institution offers one or more degree programs based on at least 60 semester credit hours or the equivalent at the associate level; at least 120 semester credit hours or the equivalent at the baccalaureate level; or at least 30 semester credit hours or the equivalent at the post-baccalaureate, graduate, or professional level. If an institution uses a unit other than semester credit hours, it provides an explanation for the equivalency. The institution also provides a justification for all degrees that include fewer than the required number of semester credit hours or its equivalent unit. **(Program Length)**

Compliance Partial Compliance Non-Compliance

Narrative:

The University of Louisville (UofL) currently offers 1 associate degree program, 25 certificate programs, 66 baccalaureate degree programs, 75 master's degree programs, 1 specialist degree, 36 doctoral degree programs, and 3 first-professional degree programs, for a total of 207 degree programs. Kentucky Revised Statute 164.2951, which sets minimum requirements for associate and bachelor's degrees, Kentucky Council on Postsecondary Education (CPE) oversight, external program accreditation requirements, and institutional practice provide parameters in establishing appropriate program length and ensure that UofL programs meet the minimum credit hour requirements of this standard.

- 2.7.2** The institution offers degree programs that embody a coherent course of study that is compatible with its stated mission and is based upon fields of study appropriate to higher education. **(Program Content)**

Compliance Partial Compliance Non-Compliance

Narrative:

The University of Louisville (UofL) offers programs containing coherent courses of study that are compatible with its mission and based upon fields of study appropriate to higher education. Faculty have control over its

curricula, instruction, and examinations. New programs are developed by faculty in the discipline and are based upon current discipline-specific research, as well as professional standards where they exist for the discipline. Faculty apply their scholarship and knowledge toward establishing and maintaining the appropriate sequence of courses and other requirements necessary to ensure that they are graduating students who are qualified and knowledgeable in their fields. Program curricula receive a comprehensive evaluation before adoption, including review by the program's faculty and department, the unit's Curriculum Committee, UofL's provost office, the Faculty Senate, other university committees as appropriate, and external review by the Kentucky Council on Postsecondary Education (CPE).

***2.7.3** In each undergraduate program, the institution requires in each undergraduate degree program the successful completion of a general education component at the collegiate level that (1) a substantial component of each undergraduate degree, (2) ensures breadth of knowledge, and (3) is based on a coherent rationale. For degree completion in associate programs, the component constitutes a minimum of 15 semester hours or the equivalent; for baccalaureate programs, a minimum of 30 semester hours or the equivalent. These credit hours are to be drawn from and include at least one course from each of the following areas: humanities/fine arts, social/behavioral sciences, and natural science/mathematics. The courses do not narrowly focus on those skills, techniques, and procedures specific to a particular occupation or profession. If an institution uses a unit other than semester credit hours, it provides an explanation for the equivalency. The institution also provides a justification if it allows for fewer than the required number of semester credit hours or its equivalent unit of general education courses. **(General Education)**

X Compliance Partial Compliance Non-Compliance

Narrative:

The University of Louisville (UofL) has a well-defined general education program. All undergraduate students, whether on-campus or in distance education, must complete 34 credit hours of general education coursework out of a minimum of 120 credit hours, which is a substantial component of the undergraduate degree. Specifically, students are to establish foundations in the following content areas aligned with the required general education components as identified by SACSCOC: Arts and Humanities, Mathematics, Natural Sciences, Oral Communication, Social and Behavioral Sciences, and Written Communication. Additionally, students are to acquire an understanding of Cultural Diversity through work in the content areas, all of which ensures breadth of knowledge. The general education components are required for all majors regardless of focus (such as liberal arts, natural sciences, social sciences, humanities, STEM, etc.).

2.7.4 The institution provides instruction for all course work required for at least one degree program at each level at which it awards degrees. If the institution does not provide instruction for all such course work and (1) makes arrangements for some instruction to be provided by other accredited institutions or entities through contracts or consortia or (2) uses some other alternative approach to meeting this requirement, the alternative approach must be approved by the Commission on Colleges. In both cases, the institution demonstrates that it controls all aspects of its educational program. *(See Commission policy "Core Requirement 2.7.4: Documenting an Alternative Approach.")* **(Course work for Degrees)**

X Compliance Partial Compliance Non-Compliance

Narrative:

The University of Louisville (UofL) controls all aspects of its educational programs. UofL has clear policies in place regulating the administration of its degree programs. UofL's course offerings are more than sufficient for degree-seeking students at all levels. The university participates in several consortial academic partnerships that have existed for decades and degree programs that also benefit from external accreditation. Students taking courses abroad through one of the university's collaborative partnerships are assured a quality educational experience controlled by UofL's faculty.

*** 2.8** The number of full-time faculty members is adequate to support the mission of the institution and to ensure the quality and integrity of each of its academic programs.

Upon application for candidacy, an applicant institution demonstrates that it meets the comprehensive standard for faculty qualifications **(Faculty)**

Compliance Partial Compliance Non-Compliance

Narrative:

The number of full-time faculty employed by the University of Louisville (UofL) is adequate to support the mission of the institution and to ensure program quality. Our 2.8 analyses show that our student to faculty FTE ratios are comparable to our SACS-accredited peers; faculty instruction is well diversified among our programs, with full-time faculty teaching the majority of face to face and online coursework as measured by student credit hours. The university annual work plan process allocates faculty's teaching, research, and service activities. While academic programs are maintained at a high level of quality and integrity, faculty members have also succeeded in measures such as greater numbers of scholarly publications; increased research and grant funding; and an expanded range of service activities.

2.9 The institution, through ownership or formal arrangements or agreements, provides and supports student and faculty access and user privileges to adequate library collections and services and to other learning/information resources consistent with the degrees offered. Collections, resources, and services are sufficient to support all its educational, research, and public service programs. **(Learning Resources and Services)**

Compliance Partial Compliance Non-Compliance

Narrative:

The University of Louisville (UofL) libraries support the university's educational, research, and public service programming and mission by providing a broad array of learning resources and services to users on and off campus. . The University Libraries system provides access to many information resources that include physical collections that are complemented by an ever-growing selection of electronic resources. In 2002, the UofL libraries were admitted to the Association of Research Libraries (ARL) based on the libraries' collections and commitment to information resource access. The Belknap Campus is served by five libraries that work together to provide information resources and library services to meet the needs of faculty, students, and staff regardless of location or discipline. The Health Sciences Campus is served by Kornhauser Health Sciences Library, which provides hundreds of eBooks, online clinical information tools, and thousands of online journals and is the largest health sciences library in the state.

***2.10** The institution provides student support programs, services, and activities consistent with its mission that are intended to promote student learning and enhance the development of its students. **(Student Support Services)**

Compliance Partial Compliance Non-Compliance

Narrative:

The University of Louisville (UofL) has a diverse student body encompassing undergraduate, graduate, and professional students. UofL provides student support services and programs that promote and support excellence and inclusiveness in alignment with its mission. Program development and services are all designed to create an environment that fosters student learning and development and that promotes students' connection to the university, the community, and beyond. Students in offsite distance programs have access to the same student services as UofL students and are especially encouraged to utilize the Distance Education Student Services Resources hub offered by the Division of Student Affairs.

2.11.1 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 systemwide 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 entitled "Accreditation Procedures for Applicant Institutions. (**Financial Resources**)

Compliance Partial Compliance Non-Compliance

Narrative:

The University of Louisville (UofL) has a sound financial base, demonstrated financial stability, and adequate physical resources to support its mission and the full scope of its programs and services. All available financial statements are supplied with this report. UofL has a consistent trend of financial health and stability that supports the university mission and the scope of its programs and services. Through its budget and planning process UofL has prioritized needs and adequately appropriated resources to meet those needs. The university continues to receive support from governmental and private sources for sponsored programs, grants, and contracts. Revenue from gifts and endowments in addition to general funds support many ongoing programs at the university, including teaching, research, and public service activities; intercollegiate athletics; and financial aid for the students.

2.11.2 The institution has adequate physical resources to support the mission of the institution and the scope of its programs and services. (**Physical Resources**)

Compliance Partial Compliance Non-Compliance

Narrative:

The University of Louisville's (UofL) mission is to be a premier, nationally recognized metropolitan research university. The university embraces this charge and has responded through focused strategic planning in the form of the *2020 Plan*. The 21st Century Initiative, started in 2012, expands on the 2020 Plan and includes proposals for a new classroom building on the Belknap Campus (to be completed in 2018), renovation of the Ekstrom Library, increased housing options, the renovation of the Student Activity Center (in progress), and a proposed new classroom building for the Health Sciences Campus.

2.12 The institution has developed an acceptable Quality Enhancement Plan (QEP) that includes an institutional process for identifying key issues emerging from institutional assessment and focuses on learning outcomes and/or the environment supporting student learning and accomplishing the mission. (**Quality Enhancement Plan**). (**Note: This requirement is not addressed by the institution in its Compliance Certification.**)

Section 3: COMPREHENSIVE STANDARDS

Institutional Mission, Governance, and Effectiveness

3.1 Institutional Mission

3.1.1 The mission statement is current and comprehensive, accurately guides the institution's operations, is periodically reviewed and updated, is approved by the governing board, and is communicated to the institution's constituencies. **(Mission)**

Compliance Partial Compliance Non-Compliance

Narrative:

The University of Louisville's (UofL) mission statement is current and comprehensive and is the foundation of the university's operations. UofL recently reviewed and revised its mission statement. The Board of Trustees approved the current mission statement on January 14, 2016.

3.2 Governance and Administration

3.2.1 The governing board of the institution is responsible for the selection and the periodic evaluation of the chief executive officer. **(CEO evaluation/selection)**

Compliance Partial Compliance Non-Compliance

Narrative:

In accordance with Kentucky Revised Statute (KRS) 164.830, the University of Louisville (UofL) Board of Trustees has full authority to appoint, suspend, extend, or remove the university president and to determine the president's compensation and to determine the president's compensation and duties.

3.2.2 The legal authority and operating control of the institution are clearly defined for the following areas within the institution's governance structure: **(Governing board control)**

3.2.2.1 the institution's mission

Compliance Partial Compliance Non-Compliance

Narrative:

The legal authority and operating control of the University of Louisville (UofL) are clearly defined for the university's governance structure with regard to the institutional mission. As outlined in the Kentucky Revised Statutes (KRS) 164.350 and 164.830, the legal authority and operating control of the institution's mission within UofL's governance structure is vested with the Board of Trustees.

3.2.2.2 the fiscal stability of the institution

Compliance Partial Compliance Non-Compliance

Narrative:

The legal authority and operating control of the University of Louisville (UofL) are clearly defined for the university's governance structure with regard to fiscal stability.

3.2.2.3 institutional policy

Compliance Partial Compliance Non-Compliance

Narrative:

The legal authority and operating control of the University of Louisville (UofL) are clearly defined for the university's governance structure with regard to institutional policy. As outlined in the Kentucky Revised Statutes (KRS) 164.350 and 164.830, the legal authority and operating control of UofL is vested with the Board of Trustees.

3.2.3 The governing board has a policy addressing conflict of interest for its members. **(Board conflict of interest)**

Compliance Partial Compliance Non-Compliance

Narrative:

The University of Louisville (UofL) has a policy addressing conflict of interest for members of the university's Board of Trustees. To ensure that university transactions are conducted with integrity, the conflict of interest policy outlines the guiding principles and procedures used by UofL to identify and manage conflicts of interest that present a significant risk to the actual or perceived objectivity of transactions conducted in the name of the university.

3.2.4 The governing board is free from undue influence from political, religious, or other external bodies, and protects the institution from such influence. **(External influence)**

Compliance Partial Compliance Non-Compliance

Narrative:

The University of Louisville (UofL) is in adherence with Kentucky state laws that require the university's Board of Trustees to be free and to protect the board and the institution from external influences. To limit such influences, the following state statutes address how trustees are selected, the composition of the board membership, and board transparency.

3.2.5 The governing board has a policy whereby members can be dismissed only for appropriate reasons and by a fair process. **(Board dismissal)**

Compliance Partial Compliance Non-Compliance

Narrative:

The University of Louisville (UofL) complies with the state law that only allows removal of board members for appropriate cause and by due process. Kentucky Revised Statute (KRS) 164.821, article 1 (b).

3.2.6 There is a clear and appropriate distinction, in writing and practice, between the policy-making functions of the governing board and the responsibility of the administration and faculty to administer and implement policy. **(Board/administration distinction)**

Compliance Partial Compliance Non-Compliance

Narrative:

The authority of the University of Louisville (UofL) governing board is assigned by Kentucky Revised Statute (KRS) 164.830. This statute, is disseminated in *The Redbook*, the university's governance document, *The*

Redbook, Section 1.1.1, provides the board the authority to select the president of the university and, upon recommendation of the president, to make all appointments to the faculty and all appointments of individuals in administrative capacities who serve at the pleasure of the board. The Board of Trustees must adopt a budget annually for the ensuing year and grant all degrees conferred by the university. Organizational outlines, bylaws, and all amendments for all units must be approved by the Board of Trustees on the recommendation of the president.

3.2.7 The institution has a clearly defined and published organizational structure that delineates responsibility for the administration of policies. **(Organizational structure)**

Compliance Partial Compliance Non-Compliance

Narrative:

The University of Louisville (UofL) has a clearly defined and published organizational structure. The university's organizational chart is revised as needed based on any changes in leadership positions or functions.

* **3.2.8** The institution has qualified administrative and academic officers with the experience and competence to lead the institution. **(Qualified administrative/academic officers)**

Compliance Partial Compliance Non-Compliance

Narrative:

The University of Louisville (UofL) has qualified administrative and academic officers with the necessary experience, competence, and capacity to lead the institution. Administrative and academic officers have both the required educational background and work experience for their positions of leadership in the institution.

3.2.9 The institution publishes policies regarding appointment, employment, and evaluation of all personnel. **(Personnel appointment)**

Compliance Partial Compliance Non-Compliance

Narrative:

The University of Louisville (UofL) defines and publishes policies regarding appointment, employment, and evaluation of faculty and staff. Faculty and staff appointments are made after searches are carried out in accordance with state and federal laws, the principles of equal employment opportunity and affirmative actions, and university policies and procedures.

3.2.10 The institution periodically evaluates the effectiveness of its administrators. **(Administrative staff evaluations)**

Compliance Partial Compliance Non-Compliance

Narrative:

The president of the University of Louisville (UofL) is the chief administrative and educational officer. The president's leadership team is evaluated based upon five overarching strategic priorities from the 2020 Plan measured in the Office of the President's Scorecard. In conjunction with the president's evaluation, each member of the president's executive leadership team prepares tactical goals that are aligned to support the Office of the President's Scorecard, the 2020 strategic plan, and 21st Century Initiative.

3.2.11 The institution's chief executive officer has ultimate responsibility for, and exercises appropriate administrative and fiscal control over, the institution's intercollegiate athletics program. **(Control of intercollegiate athletics)**

Compliance Partial Compliance Non-Compliance

Narrative:

The president of the University of Louisville (UofL) is the institution's chief administrative officer, and has ultimate control and authority over all areas of the intercollegiate athletic program. As member of the Atlantic Coast Conference (ACC), the Board of Trustees is required to annually affirm in writing the authority of the president over athletics by delegating responsibility for the overall administration of the athletics program to the President. The president has direct supervisory authority over athletics through the Vice President for Athletics who is appointed by the president and Board of Trustees, and who reports directly to the president as a member of the President's Leadership Team.

3.2.12 The institution demonstrates that its chief executive officer controls the institution's fund-raising activities. **(Fund-raising activities)**

Compliance Partial Compliance Non-Compliance

Narrative:

The University of Louisville's (UofL) chief executive officer has ultimate control and responsibility of the university's fund-raising activities. As outlined in the university's governance document, *The Redbook*, the UofL president is responsible "for raising funds from the federal government, state and local public sources, corporations, private individuals, foundations, and other sources."

3.2.13 For any entity organized separately from the institution and formed primarily for the purpose of supporting the institution or its programs: (1) the legal authority and operating control of the institution is clearly defined with respect to that entity; (2) the relationship of that entity to the institution and the extent of any liability arising out of that relationship is clearly described in a formal, written manner; and (3) the institution demonstrates that (a) the chief executive officer controls any fund-raising activities of that entity or (b) the fund-raising activities of that entity are defined in a formal, written manner which assures that those activities further the mission of the institution. **(Institution-related entities)**

Compliance Partial Compliance Non-Compliance

Narrative:

The University of Louisville (UofL) has relationships with several separate, related corporations that support or augment the university's educational mission. These organizational entities are classified as either affiliated, affiliated but not controlled or non-affiliated corporations of the university.

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)**

Compliance Partial Compliance Non-Compliance

Narrative:

The University of Louisville (UofL) has sufficient policies and procedures in place to manage intellectual property, copyrights and the overall research enterprise. The UofL Research Foundation Inc. (ULRF) was established in 1984 as the umbrella organization to manage research grants and other sponsored programs at the university. The ULRF promotes and supports research projects, investigations, and other activities relating to the educational, scientific, literary, artistic, health care and public service missions of the university.

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)**

3.3.1.1 educational programs, to include student learning outcomes

Compliance Partial Compliance Non-Compliance

Narrative:

The University of Louisville (UofL) maintains a university-wide commitment to outcomes assessment and continuous improvement of student learning for all undergraduate, graduate, professional degrees, and certificate programs. UofL offers over 200 degrees through its twelve degree-granting academic units. UofL is committed to institutional effectiveness and continuous quality improvement of these academic programs. The university's mission and strategic planning processes are supported by regular, annual outcomes assessment reporting for academic programs in the form of Student Learning Outcomes (SLO) reports.

1.3.1.2 administrative support services

Compliance Partial Compliance Non-Compliance

Narrative:

The University of Louisville (UofL) identifies expected outcomes for administrative support services, assesses the extent to which it achieves these outcomes, and provides evidence of improvement based on analysis at the institutional, unit, and department levels. As part of being a metropolitan university, the university recruits and retains an administrative structure to support all aspects of its operations. The assessment of administrative offices falls under the 2020 Plan goal of Creative and Responsible Stewardship.

3.3.1.3 academic and student support services

Compliance Partial Compliance Non-Compliance

Narrative:

The University of Louisville (UofL) identifies expected outcomes for academic and student support services, assesses the extent to which it achieves those outcomes, and provides evidence of improvement based on analysis at the institutional, unit, and department levels. Within the organizational structure of UofL, the university has numerous units providing academic and student support services that ensure efficient and effective fulfillment of its mission.

3.3.1.4 research within its mission, if appropriate

Compliance Partial Compliance Non-Compliance

Narrative:

The University of Louisville (UofL) has identified expected outcomes for research and assesses the extent to which it achieves those outcomes. UofL pursues excellence through practicing and applying research, scholarship, and creative activity through support for research among faculty, students, and the community. University research goals are well-defined, and progress on these goals is articulated, measured, evaluated, reported, and used for continuous improvement.

3.3.1.5 community/public service within its mission, if appropriate

Compliance Partial Compliance Non-Compliance

Narrative:

The University of Louisville (UofL) identifies expected outcomes for community/public service in alignment with its mission, assesses the extent to which it achieves the outcomes, and can show evidence of improvement based on analysis of assessment results. The University Scorecard includes annually reported metrics and targets for community engagement outcomes reported at the institutional level, which are monitored by central administration and are adjusted annually, building on the progress made over the past year. Accountability for making progress is shared by the entire campus community.

- 3.3.2** The institution has developed a Quality Enhancement Plan that (1) demonstrates institutional capability for the initiation, implementation, and completion of the QEP; (2) includes broad-based involvement of institutional constituencies in the development and proposed implementation of the QEP; and (3) identifies goals and a plan to assess their achievement. **(Quality Enhancement Plan)** *(Note: This requirement is not addressed by the institution in its Compliance Certification.)*

PROGRAMS

3.4 All Educational Programs

- 3.4.1** The institution demonstrates that each educational program for which academic credit is awarded is approved by the faculty and the administration. **(Academic program approval)**

Compliance Partial Compliance Non-Compliance

Narrative:

Every University of Louisville (UofL) academic program for which academic credit is awarded has been approved by the faculty and administration. The authority to start new programs is granted to the university by the Kentucky Council on Postsecondary Education (CPE). All proposals for new degree programs are developed by program faculty and are based upon current discipline-specific research, as well as professional standards where they exist for the discipline. All new programs are reviewed and approved by the program faculty and unit, the university's provost office, and the Faculty Senate before they are recommended to the Board of Trustees for approval.

- 3.4.2** The institution's continuing education, outreach, and service programs are consistent with the institution's mission. **(Continuing education/service programs)**

Compliance Partial Compliance Non-Compliance

Narrative:

The University of Louisville (UofL) continuing education, outreach, and service programs address the needs of the metropolitan area and the state and are consistent with the mission of U of L. These programs also support the university's commitment to continuous development of faculty and staff, directly contributing to the institutional effectiveness of Programs and Services. UofL's Professional Development unit works extensively with external entities such as corporate, non-profit, and military organizations to provide customized learning systems, learning and development programs, and corporate universities and open enrollment non-credit professional development programming.

* **3.4.3** The institution publishes admissions policies consistent with its mission. **(Admissions policies)**

Compliance Partial Compliance Non-Compliance

Narrative:

The University of Louisville (UofL) publishes admissions policies for all undergraduate, graduate, and professional school programs that are consistent with the university's mission to pursue excellence and inclusiveness, to educate and serve its community, and to become a "nationally recognized metropolitan research university." All admission requirements follow policies established by the university in conjunction with academic programs and are clear, reasonable, and consistently implemented.

3.4.4 The institution publishes policies that include criteria for evaluating, awarding, and accepting credit for transfer, experiential learning, credit by examination, advanced placement, and professional certificates that is consistent with its mission and ensures that course work and learning outcomes are at the collegiate level and comparable to the institution's own degree programs. The institution assumes responsibility for the academic quality of any course work or credit recorded on the institution's transcript. *(See the Commission policy "Collaborative Academic Arrangements: Policy and Procedures.")*

Acceptance of academic credit

Compliance Partial Compliance Non-Compliance

Narrative:

The University of Louisville (UofL) has a comprehensive set of published policies for evaluating, awarding, and accepting credit for transfer courses, experiential learning, advanced placement, and professional certificates. UofL's policies apply to on-campus, off-campus, and online programs.

3.4.5 The institution publishes academic policies that adhere to principles of good educational practice. These policies are disseminated to students, faculty, and other interested parties through publications that accurately represent the programs and services of the institution. **(Academic policies)**

Compliance Partial Compliance Non-Compliance

Narrative:

The University of Louisville (UofL) publishes academic policies that adhere to principles consistent with good educational practices and with the university's mission of teaching diverse undergraduate, graduate, and professional students to develop into engaged citizens, leaders, and scholars and to practice and apply research, scholarship, and creative activity. Policies are disseminated to students, faculty, and other interested parties through publications that accurately represent the programs and services of the institution. Any policies and procedures related to academic programs must be consistent with *The Redbook*, the university's basic governance document.

3.4.6 The institution employs sound and acceptable practices for determining the amount and level of credit awarded for courses, regardless of format or mode of delivery. **(Practices for awarding credit)**

Compliance Partial Compliance Non-Compliance

Narrative:

The University of Louisville (UofL) employs sound and acceptable practices for determining the amount and level of credit awarded for courses, regardless of format or mode of delivery. The university's standards for determining the amount of credit awarded meet or exceed federal regulations and regional accreditation requirements. The university's credit hour policy provides the standards for in-class and out-of-class instructional activities for undergraduate and graduate education. UofL's academic calendar is based on a standard of 14 weeks (fall/spring terms). The university's calendar policy was developed based upon SACSCOC guidelines. One credit hour of lecture, discussion, or seminar requires at least 50 contact minutes per week during a regular semester (as allowed by SACSCOC and consistent with the federal recognition of

the Carnegie Unit definition). The initial credit hour recommendation is made by the faculty in the discipline, which ensures consistency with the norms of the discipline.

3.4.7 The institution ensures the quality of educational programs/courses offered through consortia relationships or contractual agreements, ensures ongoing compliance with the *Principles*, and periodically evaluates the consortial relationship and/or agreement against the mission of the institution. (See the Commission policy “Collaborative Academic Arrangements.”) **(Consortia relationships/contractual agreements)**

Compliance Partial Compliance Non-Compliance

Narrative:

The University of Louisville (UofL) participates in several consortia and partnerships that offer educational programs and courses. The faculty of the academic unit involved are charged with the oversight and administration of the program in accordance with *The Redbook* 3.3.2. This responsibility includes all programs regardless of delivery or location. All consortial arrangements are thoroughly reviewed by the departments who propose the initiatives, as well as by the legal counsel and upper administration of the university. The Vice Provost for Diversity and International Affairs has been delegated the approval and signature authority for all international agreements by the University Provost. The Office of the University Provost coordinates the review and approval of all other agreements with the responsible academic unit.

3.4.8 The institution awards academic credit for course work taken on a noncredit basis only when there is documentation that the noncredit course work is equivalent to a designated credit experience. **(Noncredit to credit)**

Compliance Partial Compliance Non-Compliance

Narrative:

The University of Louisville does not award academic credit for course work taken on a noncredit basis.

3.4.9 The institution provides appropriate academic support services. **(Academic support services)**

Compliance Partial Compliance Non-Compliance

Narrative:

The University of Louisville (UofL) provides numerous and appropriate academic support services aligned with its commitment to the pursuit of excellence in educational experience and research, creativity, and scholarly activity. The university's academic support services provide classroom and pedagogical support for faculty and tutorial and curricular assistance for students' academic success. This includes support for teaching improvement appropriate to the various levels and needs of the student body. Comparable academic support services are available to on-campus, off-campus and online students.

3.4.10 The institution places primary responsibility for the content, quality, and effectiveness of the curriculum with its faculty. **(Responsibility for curriculum)**

Compliance Partial Compliance Non-Compliance

Narrative:

Primary responsibility for all content, quality, and effectiveness of the University of Louisville (UofL) curriculum (both face-to-face and distance learning) rests in the hands of the faculty. *The Redbook* places educational responsibility on the “officer of a department, division, institute, or school within a unit,” and the “chair or director of any department, school, institute or division shall be immediately responsible to the Dean of the unit for work and progress of the department or division.”

***3.4.11** For each major in a degree program, the institution assigns responsibility for program coordination, as well as for curriculum development and review, to persons academically qualified in the field. In those degree programs for which the institution does not identify a major, this requirement applies to a curricular area or

concentration. **(Academic program coordination)**

Compliance Partial Compliance Non-Compliance

Narrative:

The University of Louisville (UofL) has twelve degree granting academic units that operate according to their unit-level by-laws as empowered by the university's governance document *The Redbook*. As the academic and administrative heads of the schools, the academic deans have responsibility for program coordination within their respective units. Generally, schools assign the responsibility of academic coordination to the department chairs or a faculty program coordinator. All faculty assigned as program coordinators hold academic credentials relevant to their program's field and are academically qualified to coordinate, develop, and review their assigned program and curriculum for on-campus, off-campus, and online programs.

3.4.12 The institution's use of technology enhances student learning and is appropriate for meeting the objectives of its programs. Students have access to and training in the use of technology. **(Technology use)**

Compliance Partial Compliance Non-Compliance

Narrative:

The University of Louisville (UofL) uses technology to enhance student learning and ensures that the technology it provides is appropriate for meeting its programs' objectives. The university also provides access to technology and training in the use of the technology to faculty, staff and students. The university provides an extensive information technology infrastructure in direct support of the university's teaching mission. Heavy investment in computer labs across the campus guarantees that all students have access to the equipment and software required for interactive learning. All students have access to the university network, whether on-campus or off-site.

3.5 Educational Programs: Undergraduate Programs

3.5.1 The institution identifies college-level general education competencies and the extent to which students have attained them. **(General education competencies)**

Compliance Partial Compliance Non-Compliance

Narrative:

The University of Louisville (UofL) has identified college-level general education competencies and assesses the extent to which students have attained them. The general education program at UofL fosters active learning by asking students to: think critically, communicate effectively, and understand and appreciate cultural diversity. In addition to these over-arching competencies for the General Education program, each content area has a specific set of learning outcomes aligned with critical thinking, effective communication, and/or cultural diversity. UofL's content areas were selected to align with SACS-COC expectations for general education courses within the humanities/fine arts, social/behavioral sciences, and the natural science/mathematics. The university also added expectations for written and oral communication and cultural diversity in alignment with the university's mission to be "a premier, nationally recognized metropolitan research university."

3.5.2 At least 25 percent of the credit hours required for the degree are earned through instruction offered by the institution awarding the degree. *(See the Commission policy "Collaborative Academic Arrangements.")* **(Institutional credits for a degree).**

Compliance Partial Compliance Non-Compliance

Narrative:

The University of Louisville (UofL) has policies and procedures in place to ensure that more than 25 percent of the credits required by undergraduate degrees are earned through instruction offered by the university. Information on the percent of credit hours that must be earned through instruction by the university can be found in the *Undergraduate Catalog*. The application of credit hours accepted in transfer are monitored on a student-by-student basis through periodic advising and degree audits.

3.5.3 The institution publishes requirements for its undergraduate programs, including its general education components. These requirements conform to commonly accepted standards and practices for degree programs. (See the Commission policy “*The Quality and Integrity of Undergraduate Degrees.*”) **(Undergraduate program requirements)**

Compliance Partial Compliance Non-Compliance

Narrative:

The University of Louisville (UofL) publishes requirements for all undergraduate programs, including general education components. These requirements conform to the commonly accepted standards and practices for degree programs and also apply to distance education programs. Requirements for all undergraduate programs are published in the *Undergraduate Catalog*. Many programs also publish their requirements on program webpages and in curriculum sheets or contracts that they make available to students during incoming freshmen orientation and continuing student advising

3.5.4 At least 25 percent of the course hours in each major at the baccalaureate level are taught by faculty members holding an appropriate terminal degree—usually the earned doctorate or the equivalent of the terminal degree. **(Terminal degrees of faculty)**

Compliance Partial Compliance Non-Compliance

Narrative:

The University of Louisville (UofL) is in compliance with Comprehensive Standard 3.5.4 based upon a determination that at least twenty-five percent of the course hours in each major at the baccalaureate level are taught by faculty members who hold the appropriate terminal degree in the discipline. Consistent with the university mission, academic units offering undergraduate degree programs hire, retain, and promote quality instructional staff who support the teaching, research and service goals of a metropolitan research university.

3.6 Educational Programs: Graduate and Post-Baccalaureate Professional Programs

3.6.1 The institution’s post-baccalaureate professional degree programs, master’s and doctoral degree programs, are progressively more advanced in academic content than its undergraduate programs. **(Post-baccalaureate program rigor)**

Compliance Partial Compliance Non-Compliance

Narrative:

The University of Louisville (UofL) offers graduate degree programs at the master’s, specialist, and doctoral level in numerous disciplines and professional degrees in medicine, dentistry, and law. Academic rigor increases progressively from undergraduate to master’s to doctoral or professional study. The professional

degree programs and master's and doctoral degree programs are progressively more advanced in academic content than the undergraduate programs as demonstrated by a sample of student learning outcomes from various programs and course descriptions, course objectives, and assignments/evaluations from sample programs.

- 3.6.2** The institution structures its graduate curricula (1) to include knowledge of the literature of the discipline and (2) to ensure ongoing student engagement in research and/or appropriate professional practice and training experiences. **(Graduate curriculum)**

Compliance Partial Compliance Non-Compliance

Narrative:

The University of Louisville (UofL) structures its graduate curricula to include knowledge of the literature of the discipline and to ensure ongoing engagement in research, professional practice, and training. Students demonstrate independent learning by synthesizing material across courses in an exit exam or by applying classroom knowledge in real-world settings through an internship. Students are exposed to the literature of the discipline through required course readings of original research articles, reports, or case studies, as relevant to the disciplines. All graduate programs complete annual SLO reports in which they assess the effectiveness of student learning and make plans for improvement. Graduate programs also undergo academic program review, which assesses the quality of the program.

- 3.6.3** At least one-third of credits toward a graduate or a post-baccalaureate professional degree are earned through instruction offered by the institution awarding the degree. *(See the Commission policy "Collaborative Academic Arrangements.")* **(Institutional credits for a degree)**

Compliance Partial Compliance Non-Compliance

Narrative:

The University of Louisville's (UofL) residency policy requires that master's students take at least 24 hours of coursework at the University of Louisville. Doctoral students must spend at least two years of study at the University of Louisville and at least one year in full-time residency, which is defined as being registered for a minimum of 18 credit hours in a twelve-month period. UofL monitors the application of transfer credits to ensure that graduate degrees are not awarded with less than one third of the credits having been earned through instruction offered by UofL.

- 3.6.4** The institution defines and publishes requirements for its graduate and post-baccalaureate professional programs. These requirements conform to commonly accepted standards and practices for degree programs. **(Post-baccalaureate program requirements)**

Compliance Partial Compliance Non-Compliance

Narrative:

The University of Louisville (UofL) defines and publishes the requirements of all graduate programs in the *Graduate Catalog*, which is updated regularly. Each professional program makes its requirements available on the web and in program handbooks, which are also updated regularly. All catalogs and handbooks are archived annually. The university's academic accountability processes of program proposal and review, as well as program accreditation where applicable, provide guidance in the appropriateness of graduate program and post-baccalaureate curriculum. The university's programs conform to commonly accepted practices and are similar to programs at peer institutions.

3.7 Faculty

3.7.1 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 *the Commission guidelines "Faculty Credentials."*) **(Faculty competence)**

Compliance Partial Compliance Non-Compliance

Narrative:

The University of Louisville (UofL) has policies that support employment of competent faculty and ensure the adequacy of faculty credentials. The ongoing nature of the faculty hiring process requires we continuously verify faculty and graduate teaching assistant credentials. In cases where the highest degree is not used, the hiring unit documents the rationale for other qualifications used to justify faculty competence. The university's PeopleSoft system is the database used to collect all the necessary credentials information from which unit can run reports to review and update faculty credentials regularly.

3.7.2 The institution regularly evaluates the effectiveness of each faculty member in accord with published criteria, regardless of contractual or tenured status. **(Faculty evaluation)**

Compliance Partial Compliance Non-Compliance

Narrative:

The University of Louisville (UofL) conducts annual evaluations of the effectiveness of each faculty member. Chapter 4 of *The Redbook*, the university's governance document, addresses Faculty Personnel Policies. *Redbook*, Section 4.2.1 (B), states that "All part-time, term, probationary, and tenured faculty must be reviewed in writing annually."

3.7.3 The institution provides ongoing professional development of faculty as teachers, scholars, and practitioners. **(Faculty development)**

Compliance Partial Compliance Non-Compliance

Narrative:

The University of Louisville (UofL) provides a number of university-wide programs to support the ongoing professional development of its faculty. UofL faculty participate in ongoing professional development as teachers, scholars, and practitioners. These opportunities range from sabbatical leaves to training seminars to financial support of various activities. Faculty development activities are supported both in university-wide programs and through unit practices and professional development offerings.

3.7.4 The institution ensures adequate procedures for safeguarding and protecting academic freedom. **(Academic freedom)**

Compliance Partial Compliance Non-Compliance

Narrative:

The University of Louisville (UofL) provides protection of academic freedom to both full-time and part-time faculty. The basic governance document of the university, *The Redbook*, states in section

2.5.1 that the University of Louisville is “committed to protecting the academic freedom of all members of the University community.” The university provides appropriate procedures to address any grievance related to academic freedom or other faculty matters based on Section 4.4 of *The Redbook*.

3.7.5 The institution publishes policies on the responsibility and authority of faculty in academic and governance matters. **(Faculty role in governance)**

Compliance Partial Compliance Non-Compliance

Narrative:

The University of Louisville (UofL) has guidelines that support the responsibility and authority of faculty in academic and governance matters. UofL participates in shared governance, a set of principles and practices through which faculty and staff members participate in the important decisions regarding the operation of the university. Section 3.3.2 of *The Redbook* (the university’s governance document) guarantees to each unit’s faculty general legislative powers over all matters pertaining to the unit’s own personnel policies, criteria, and procedures, to its own meetings, and to its admission requirements, curricula, instruction, examinations, and recommendations to the Board of Trustees for granting of degrees in its own academic unit.

3.8 Library and Other Learning Resources

3.8.1 The institution provides facilities and learning/information resources that are appropriate to support its teaching, research, and service mission. **(Learning/information resources)**

Compliance Partial Compliance Non-Compliance

Narrative:

The University of Louisville (UofL) libraries support the university’s educational and service mission by providing an array of facilities and learning/information resources that are appropriate to support its mission for users on and off campus. UofL is served by seven libraries that work together to provide information resources and library services to meet the needs of faculty, students, and staff regardless of location or discipline. The University Libraries collections have been developed over time to support the programs of the university and are routinely reviewed to ensure appropriateness for the institution’s curricular and research aims. The libraries offer the services expected of a research library system.

3.8.2 The institution ensures that users have access to regular and timely instruction in the use of the library and other learning/information resources. **(Instruction of library use)**

Compliance Partial Compliance Non-Compliance

Narrative:

The University of Louisville (UofL) ensures that all users have access to regular and timely instruction in the use of library/learning resources. The provision of library and information literacy instruction to students, faculty, and staff in both face-to-face and online settings is a key component of UofL Libraries’ mission to “meet the information, research, and service needs of a diverse population.” For distance students and other users working in an online context, University Libraries developed web-based research guides that on an ongoing basis provide access to library resources and often incorporate instructional and informational content, including tutorials and archival finding aids. These online tools support a wide variety of distance education programs, including international programs and off-site, collaborative degree programs. All University Libraries maintain a service desk and phone line by which students, faculty, staff, and community patrons can obtain on-demand assistance with research.

3.8.3 The institution provides a sufficient number of qualified staff—with appropriate education or experiences in library and/or other learning/information resources—to accomplish the mission of the institution. **(Qualified staff)**

Compliance Partial Compliance Non-Compliance

Narrative:

The University of Louisville (UofL) is a member of the Association of Research Libraries (ARL). This select group of the 125 top research institutions in North America is an important benchmark for establishing appropriate and adequate staffing levels. The libraries ranked 99th of 115 in overall staffing levels. UofL Libraries are sufficiently well staffed to provide effective library services to our users and to achieve our stated goals. A Master's degree from a program accredited by the American Library Association (ALA) plus experience in an academic library/archives or other specialized research library/archive are the qualifications for UofL Library faculty. The UofL Libraries are sufficiently staffed with qualified personnel to meet the needs of users and to carry out the mission of the university and the University Libraries.

3.9 Student Affairs and Services

3.9.1 The institution publishes a clear and appropriate statement of student rights and responsibilities and disseminates the statement to the campus community. **(Student rights)**

Compliance Partial Compliance Non-Compliance

Narrative:

The University of Louisville (UofL) publishes a clear and appropriate statement of student rights and responsibilities and disseminates the statement to the campus community. The UofL Student Rights and Responsibilities policy applies to all students at the institution (including on-campus, off-campus, and online students) and addresses admission and financial aid, classroom rights and responsibilities, academic dishonesty, campus expression, use of campus facilities, student records, campus organizations, and other relevant policies. The Code of Student Rights and Responsibilities is available online and is disseminated regularly to all students through orientations and by email.

3.9.2 The institution protects the security, confidentiality, and integrity of its student records and maintains security measures to protect and back up data. **(Student records)**

Compliance Partial Compliance Non-Compliance

Narrative:

The University of Louisville (UofL) protects the security, confidentiality, and integrity of its student records in compliance with the Family Educational Rights to Privacy Act (FERPA). The Information Security Office (ISO) administers the university's Information Security Program and serves as the university's resource for guidance on information security compliance. FERPA notification is applicable to on-campus, off-campus and online students. The director of the University Archives and Records Center serves as UofL's FERPA compliance officer and oversees the publication of UofL's "Notification of Students' Privacy Rights under FERPA" on the university's website and in all student catalogs. Student records in each unit/department are secured, and adherence to FERPA is mandated.

3.9.3 The institution provides a sufficient number of qualified staff—with appropriate education or experience in the student affairs area—to accomplish the mission of the institution. **(Qualified staff)**

Compliance Partial Compliance Non-Compliance

Narrative:

The University of Louisville (UofL) provides a sufficient number of staff with the appropriate education and experience to support its mission of developing engaged citizens, leaders, and scholars and to ensure the

quality and effectiveness of its student support programs. The Division of Student Affairs assists in creating a campus culture that promotes the academic achievement and personal development of all students (undergraduate, graduate and professional); assists with crisis response and institutional initiatives; advocates on behalf of students; and fosters collaborative relationships among students, faculty, and staff. . The Division of Student Affairs includes more than 85 staff working in a wide range of student service areas in alignment with the mission of the university.

RESOURCES

3.10 Financial and Physical Resources

3.10.1 The institution's recent financial history demonstrates financial stability. **(Financial stability)**

Compliance Partial Compliance Non-Compliance

Narrative:

The University of Louisville (UofL) has a sound financial base, demonstrated financial stability, and adequate physical resources to support its mission and the full scope of its programs and services. Despite continued funding challenges at both state and federal levels, the university has made progress in meeting its strategic goals. The Office of Senior Vice President for Finance and Administration provides administrative oversight to all financial functions of the university.

* **3.10.2** The institution audits financial aid programs as required by federal and state regulations. **(Financial aid audits)**

Compliance Partial Compliance Non-Compliance

Narrative:

The University of Louisville (UofL) complies with all federal rules and regulations governing the administration of Title IV federal financial aid programs. The university has been approved to participate in all federal aid programs and has been recertified, as required, without exception or delay. The university complies with all state regulations for financial aid and has not been subject to any recent program reviews or audits separate from the federal process. The university audits its financial aid programs annually in accordance with the Office of Management and Budget (OMB) Circular A-133, as required by federal law. The most recent available audit was completed with no findings

3.10.3 The institution exercises appropriate control over all its financial resources. **(Control of finances)**

Compliance Partial Compliance Non-Compliance

Narrative:

The University of Louisville (UofL) exercises appropriate control over all of its finances. The Board of Trustees oversees the university's system of internal control of financial resources. As specified in *The Redbook*, Section 1.1.1, the Board adopts a budget annually. Under the leadership of the Board of Trustees, the president, and other administrators a culture of continual improvement across all areas of internal and external business operations has been adopted and continues today.

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

Compliance Partial Compliance Non-Compliance

Narrative:

The University of Louisville (UofL) maintains financial control over its externally funded or sponsored research and programs. As a recipient of federal funding UofL adheres to the administrative requirements, cost principles, and audit requirements governing federal awards as issued by the Office of Management and

Budget (OMB) in the Uniform Guidance, 2 CFR 200, as applicable. UofL maintains detailed policies, procedures, and guidelines in the university's financial policy library [2] and in the UofL *Research Handbook* for the administrative and financial management of externally funded and sponsored research programs.

3.11 Physical Resources

3.11.1 The institution exercises appropriate control over all its physical resources. **(Control of physical resources)**

Compliance Partial Compliance Non-Compliance

Narrative:

The University of Louisville (UofL) exercises control over all of its physical resources. The university has ample administrative and staff structure to monitor and control its physical resources, including fiduciary control of physical resources. The university also has appropriate control over risk assessment and long-term facilities planning. The university employs over 400 skilled trade and maintenance staff in the Physical Plant organized by functional area.

3.11.2 The institution takes reasonable steps to provide a healthy, safe, and secure environment for all members of the campus community. **(Institutional environment)**

Compliance Partial Compliance Non-Compliance

Narrative:

The University of Louisville (UofL) takes reasonable steps to provide a healthy, safe, and secure environment for all members of the campus community. Physical Plant is responsible for operating and maintaining the physical facilities in a healthy and safe manner. Physical Plant follows Occupational Safety and Health Administration (OSHA) requirements, Environmental Protection Agency (EPA) requirements, state and federal laws and university policies. The university maintains its own Police Department (ULPD) and provides protection to UofL's Physical Plant and all campus communities.

***3.11.3** The institution operates and maintains physical facilities, both on and off campus, that appropriately serve the needs of the institution's educational programs, support services, and other mission-related activities. **(Physical facilities)**

Compliance Partial Compliance Non-Compliance

Narrative:

The University of Louisville (UofL) operates and maintains on- and off-campus physical facilities that appropriately serve the needs of its educational programs, support services, and other activities. The Belknap Campus has over 4 million square feet of space that is utilized for teaching, research and support and is undergoing a major expansion focused on creating collaborative business developments that benefit the main campus students, faculty, and staff.

INSTITUTIONAL RESPONSIBILITY FOR COMMISSION POLICIES

3.12.1 The institution notifies the Commission of changes in accordance with the Commission's substantive change policy and, when required, seeks approval prior to the initiation of changes. *(See Commission policy "Substantive Change for Accredited Institutions.")* **(Substantive change)**

Compliance Partial Compliance Non-Compliance

Narrative:

The University of Louisville (UofL) is in compliance with Comprehensive Standard 3.12.1 and is committed to notifying SACSCOC in accordance with the substantive change policy. The university maintains an internal policy that addresses all aspects of the SACSCOC substantive change policy. The university has processes in place to ensure campus awareness and appropriate notification to SACSCOC.

3.13 The institution complies with the policies of the Commission on Colleges. **(Policy compliance)**

(Note: *Institutions are responsible for reviewing the following Commission policies and providing evidence of compliance with those that are applicable. Those that have an asterisk are policies that include a federal mandate. Policies can be accessed at <http://www.sacscoc.org/policies.asp>.)*

***3.13.1. “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.

Documentation: The institution should (1) list federally recognized agencies that currently accredit the institution or any of its programs, (2) provide the date of the most recent review by each agency and indicate if negative action was taken by the agency and the reason for such action, (3) provide copies of statements used to describe itself for each of the accrediting bodies, (4) indicate any agency that has terminated accreditation, the date, and the reason for termination, and (5) indicate the date and reason for the institution voluntarily withdrawing accreditation with any of the agencies.

Compliance Partial Compliance Non-Compliance Not applicable

Narrative:

The University of Louisville (UofL) is compliant with Comprehensive Standard 3.13.1. In addition to its university-level SACS accreditation, UofL has 42 program-level accreditations with 26 agencies, 10 of which are recognized by the Department of Education. The university describes itself in identical terms to each recognized accrediting body.

3.13.2. “Agreements Involving Joint and Dual Academic Awards: Policy and Procedures”

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

Documentation: The institution should provide evidence that it has reported to the Commission all dual and joint awards (as defined in this policy) that included signed final copies of the agreements outlining the awards. In addition, the institution should integrate into the Compliance Certification a discussion and determination of compliance with all standards applicable to the provisions of the agreements.

Compliance Partial Compliance Non-Compliance Not applicable

Narrative:

The University of Louisville (UofL) is in compliance with Comprehensive Standard 3.13.2. UofL has processes to ensure the quality of its consortial and collaborative arrangements/agreements. UofL notifies the Southern Association of Colleges and Schools Commission on Colleges of new collaborative arrangements/agreements in alignment with SACSCOC policies and provides copies of signed agreements

***3.13.3. “Complaint Procedures Against the Commission or Its Accredited Institutions”**

Applicable Policy Statement. Each institution is required to have in place student complaint policies and procedures that are reasonable, fairly administered, and well-publicized. (See FR 4.5). The Commission also requires, in accord with federal regulations, that each institution maintains a record of complaints received by the institution. This record is made available to the Commission upon request. This record will be reviewed and evaluated by the Commission as part of the institution’s decennial evaluation.

Documentation: When addressing this policy statement, the institution should provide information to the Commission describing how the institution maintains its record and also include the following: (1) individuals/offices responsible for the maintenance of the record(s), (2) elements of a complaint review that are included in the record, and (3) where the record(s) is located (centralized or decentralized). The record itself will be reviewed during the on-site evaluation of the institution.

Compliance Partial Compliance Non-Compliance Not applicable

Narrative:

The University of Louisville (UofL) has student complaint policy and procedures that are reasonable, fairly administered, and well publicized. The complaint procedures are overseen and maintained by the Dean of Students. The Student Advocate enters complaints/grievances into the university’s complaint/grievance log, which contains dates, description of the complaint, contact information, and resolution.

3.13.4. “Reaffirmation of Accreditation and Subsequent Reports”

***3.13.4.a. Applicable Policy Statement.** An institution includes a review of its distance and correspondence education programs in the Compliance Certification. An institution includes a review of all its branch campuses and its off-campus instructional sites.

Documentation: In order to be in compliance with this policy, the institution must have incorporated an assessment of its compliance with standards that apply to (1) its distance and correspondence education programs and courses, (2) its branch campuses, and (3) its off-campus instructional sites. The institution should describe its process for incorporating the review and analysis of these programs.

Compliance Partial Compliance Non-Compliance Not applicable

Narrative:

The University of Louisville (UofL) compliance certification report includes a review of the university’s distance learning programs. In addition, an assessment of UofL’s compliance with standards that apply to online and distance education programs and courses is incorporated throughout the compliance report, reflecting the philosophy and practice that compliance to the standards are the same, regardless of delivery method of the courses or programs. UofL online and off-site programs are held to the same policies, procedures, and standards as on-site programs with regard to academic and student support services, academic governance, faculty credentials, faculty support, student learning outcomes, program review and assessment.

3.13.4.b. Applicable Policy Statement. If an institution is part of a system or corporate structure, a description of the system operation (or corporate structure) is submitted as part of the Compliance Certification for the decennial review. The description should be designed to help members of the peer review committees understand the mission, governance, and operating procedures of the system and the individual institution’s role with in that system.

Documentation: The institution should provide a description of the system operation and structure or the corporate structure if this applies.

Compliance Partial Compliance Non-Compliance Not applicable

Narrative:

NOT APPLICABLE TO UOFL

3.13.5. “Separate Accreditation for Units of a Member Institution”

***3.13.5. a. Applicable Policy Statement.** All branch campuses related to the parent campus through corporate or administrative control (1) include the name of the parent campus and make it clear that its accreditation is dependent on the continued accreditation of the parent campus and (2) are evaluated during reviews for institutions seeking candidacy, initial membership, or reaffirmation of accreditation. All other extended units under the accreditation of the parent campus are also evaluated during such reviews.

Documentation: For institutions with branch campuses: (1) The name of each branch campus must include the name of the parent campus—the SACSCOC accredited entity. The institution should provide evidence of this for each of its branch campuses. (2) The institution should incorporate the review of its branch campuses, as well as other extended units under the parent campus, into its comprehensive self-assessment and its determination of compliance with the standards, and indicate the procedure for doing so.

Compliance Partial Compliance Non-Compliance Not applicable

Narrative:

NOT APPLICABLE TO UOFL

3.13.5.b. Applicable Policy Statement. If the Commission on Colleges determines that an extended unit is autonomous to the extent that the control over that unit by the parent or its board is significantly impaired, the Commission may direct that the extended unit seek to become a separately accredited institution. A unit which seeks separate accreditation should bear a different name from that of the parent. A unit which is located in a state or country outside the geographic jurisdiction of the Southern Association of Colleges and Schools and which the Commission determines should be separately accredited or the institution requests to be separately accredited, applies for separate accreditation from the regional accrediting association that accredits colleges in that state or country.

Implementation: If, during its review of the institution, the Commission determines that an extended unit is sufficiently autonomous to the extent that the parent campus has little or no control, the Commission will use this policy to recommend separate accreditation of the extended unit. ***No response required by the institution.***

Compliance Partial Compliance Non-Compliance Not applicable

Narrative:

NOT APPLICABLE TO UOFL

3.14.1 A member or candidate institution represents its accredited status accurately and publishes the name, address, and telephone number of the Commission in accordance with Commission requirements and federal policy. **(Publication of accreditation status)**

Compliance Partial Compliance Non-Compliance

Narrative:

The University of Louisville (UofL) accurately represents its accreditation status and publishes the name, address, and telephone number of the Southern Association of Colleges and Schools Commission on Colleges (SACSCOC) in accordance with Commission requirements and federal policy. Units who wish to reference the university’s SACSCOC accreditation are encouraged to link to the official university statement at <http://louisville.edu/accreditation>

Section 4: FEDERAL REQUIREMENTS

- * 4.1 The institution evaluates success with respect to student achievement consistent with its mission. Criteria may include enrollment data; retention, graduation, course completion, and job placement rates; state licensing examinations; student portfolios; or other means of demonstrating achievement of goals. **(Student achievement)**

Compliance Partial Compliance Non-Compliance

Narrative:

Educational excellence is an integral part of the University of Louisville's (UofL) institutional mission and strategic plan. Institutional progress on the university's performance metrics is monitored by the 2020 Plan University Scorecard. When assessing student achievement, UofL considers the number of degrees awarded annually and the 6-year graduation rate as well as course completion rates, year-to-year retention/persistence rates, national and state licensing examination pass rates, and job placement rates. UofL has made deliberate efforts to align the academic profile of the incoming student population with the university's mission. The originating geographical locations of UofL's incoming student population have shifted, with 45 percent of students coming from out of Jefferson County in 2015. UofL's 6-year graduation rate has increased by 23.1 percentage points over the past 21 years. The total number of degrees conferred in academic year 2014-2015 was 4,938. This represents a 5.4 percent increase over the number of degrees conferred in academic year 2010-2011 (N = 4,686). During this same period, the number of doctoral research degrees increased by 5.5 percent, increasing from 163 doctoral research degrees in 2010-2011 to 172 doctoral research degrees in 2014-2015.

- * 4.2 The institution's curriculum is directly related and appropriate to the mission and goals of the institution and the diplomas, certificates, or degrees awarded. **(Program curriculum)**

Compliance Partial Compliance Non-Compliance

Narrative:

The University of Louisville (UofL) maintains a curriculum that is related to and appropriate to its mission and goals and the diplomas, certificates, and degrees it awards. Faculty in their respective units are responsible for the development and revision of their curriculum. Program faculty develop the program's curriculum based upon current discipline-specific research; needs of students in the discipline; accrediting body requirements, if applicable; and the curriculum of similar programs at other institutions of higher education. The curriculum of new academic programs is reviewed at the program, department, unit, and provost level to ensure that it is consistent with commonly accepted practices in higher education.

- * 4.3 The institution makes available to students and the public current academic calendars, grading policies, and refund policies. **(Publication of policies)**

Compliance Partial Compliance Non-Compliance

Narrative:

The University of Louisville (UofL) makes current academic calendars, grading policies, and refund policies available to students (including on-campus, online, and off-campus) and the public on the university webpage in numerous locations. The university publishes academic calendars a year in advance, with the current and following years available online. Information is available on the university homepage, under the academics tabs for students, future students, and faculty, and staff. Calendars are published for undergraduates, graduate students, and students in the professional programs of Dentistry, Law, and Medicine. The academic calendar is also published in the online *Undergraduate* and *Graduate Catalogs*. Calendars are available on the

Registrar's website. Grading policies are published in the online *Undergraduate* and *Graduate Catalogs* and in professional schools' handbooks and bulletins, also available online. The university requires that each syllabus contain the grading policy for the course. Refund policies, including specific drop dates and pro-rated costs, are available on the Bursar's Office webpage.

* 4.4 Program length is appropriate for each of the institution's educational programs. **(Program length)**

Compliance Partial Compliance Non-Compliance

Narrative:

The University of Louisville (UofL) offers programs that are appropriate in length and that follow accepted practices in higher education. All new degree programs are developed by faculty in the discipline using a Kentucky Council on Postsecondary Education (CPE) template and are reviewed and approved by faculty, administrators, and governing bodies at multiple levels of the university following the CPE guidelines and the university's Academic Program Development Process.

* 4.5 The institution has adequate procedures for addressing written student complaints and is responsible for demonstrating that it follows those procedures when resolving student complaints. (*See the Commission policy "Complaint Procedures against the Commission or its Accredited Institutions."*) **(Student complaints)**

Compliance Partial Compliance Non-Compliance

Narrative:

The University of Louisville (UofL) has adequate procedures for addressing written student complaints and grievances and follows those procedures when resolving student complaints and grievances. The UofL student grievance policy and process are detailed in *The Redbook*, Sec. 6.8 and apply to both undergraduate, graduate, and professional degree students. UofL publishes policies and procedures concerning student complaints and grievances in *The Redbook*, Section 6.8, in the *Undergraduate* and *Graduate Catalogs* and in the *Student Handbook*. The online learning website informs off-campus students about the student complaint process, and advisors in the Delphi Center are also available to assist.

* 4.6 Recruitment materials and presentations accurately represent the institution's practices and policies. **(Recruitment materials)**

Compliance Partial Compliance Non-Compliance

Narrative:

The University of Louisville (UofL) provides recruitment and promotional materials that accurately represent its diverse practices and policies as a vibrant and diverse metropolitan research university. The UofL branding policy and social media policy guide the development of uniform recruitment materials for all students, whether on-site, off-site, or online. Recruitment materials are made available through several outlets, including the online student catalogs, brochures, or presentations.

* 4.7 The institution is in compliance with its program responsibilities under Title IV of the most recent Higher Education Act as amended. (In reviewing the institution's compliance with these program responsibilities, the Commission relies on documentation forwarded to it by the U. S. Department of Education.) **(Title IV program responsibilities)**

Compliance Partial Compliance Non-Compliance

Narrative:

The University of Louisville (UofL) complies with all federal rules and regulations governing the administration of Title IV federal financial aid programs. UofL has been approved to participate in all federal aid programs and has been recertified, as required, without exception or delay. The university submits all federal financial aid reports in a timely fashion, receives annual allocations of Title IV Campus-Based Aid funds from the Department of Education, and is audited as required. All communications regarding financial aid audits and findings are also available in Comprehensive Standard 3.10.2. No complaints against UofL have been filed

with the Department of Education. The university is in compliance with its program responsibilities under Title IV of the most recent Higher Education Act as amended.

* **4.8** An institution that offers distance or correspondence education documents each of the following:
(Distance and 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.

X Compliance Partial Compliance Non-Compliance

Narrative:

The University of Louisville (UofL) uses a combination of course management and resource management technology in conjunction with student code of conduct policies to ensure the integrity of its online learning system and to verify the identity of enrolled students. The protocols for confirming the identity of students depends on a combination of security protocols and faculty verification of students in the classroom at the remote locations.

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

X Compliance Partial Compliance Non-Compliance

Narrative:

The University of Louisville (UofL) has protections, processes, and written procedures in place for protecting the security, confidentiality, and integrity of all of its student records, including: academic, admissions, medical, psychological and career counseling, financial aid and student employment, residence (housing), distance and continuing education, student discipline, university testing, and Disability Resource Center. The protocols for the protection of distance learning student records are the same as those for on-campus students. Access to student records (electronic and paper versions) is governed by adherence to the federal *Family Educational Rights and Privacy Act* (FERPA).

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.

X Compliance Partial Compliance Non-Compliance

Narrative:

Students enrolled in distance learning and online courses at the University of Louisville (UofL) are not assessed additional charges for verification of student identity. The tuition for all courses are established each academic year by the University Tuition and Fee Setting Committee. Recommendations by this committee are presented to and approved by the Board of Trustees annually. The university notifies students of any changes in tuition and fees in advance of any billing. Any fees charged to the student are also published on the university's website and listed in the online Schedule of Classes.

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

X Compliance Partial Compliance Non-Compliance

Narrative:

The University of Louisville's (UofL) policies and procedures for determining the credit hours awarded for courses and programs conforms to SACSCOC policy and to commonly accepted practices in higher education. The university's policy for establishing the institutional academic calendar and determining the amount of credit awarded for all courses (face to face and on-line) is designed to meet or exceed federal regulations and regional accreditation requirements. All courses at the University of Louisville follow uniform standards for determining the amount of credit awarded.